REAUTHORIZATION OF SECTIONS 405 AND 406 OF THE GENERAL EDUCATION PROVISIONS ACT

HEARING

BEFORE THE

SUBCOMMITTEE ON SELECT EDUCATION

OF THE

COMMITTEE ON EDUCATION AND LABOR
HOUSE OF REPRESENTATIVES

NINETY-NINTH CONGRESS

SECOND SESSION

HEARING HELD IN WASHINGTON, DC, FEBRUARY 19, 1986

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REAUTHORIZATION OF SECTIONS 405 AND 406 OF THE GENERAL EDUCATION PROVISIONS ACT

WEDNESDAY, FEBRUARY 19, 1986

HOUSE OF REPRESENTATIVES,
SUBCOMMITTEE ON SELECT EDUCATION,
COMMITTEE ON EDUCATION AND LABOR,
Washington, DC.

The subcommittee met, pursuant to call, at 9:30 a.m., in room 2261, Rayburn House Office Building, Hon. Pat Williams presiding.

Members present: Representatives Williams, Martinez, Hayes, and Bartlett.

Staff present: S. Gray Garwood, staff director; Colleen Thompson, clerk; David Esquith, minority legislative associate.

Mr. WILLIAMS. I call this hearing of the Select Education Subcommittee to order. Today we will hear consideration of the reauthorization of education research and statistics.

Each branch of Government, of course, if we are to do our job well, must rely on the very best information we can get. Stargazing, tea leaf reading, crystal balls, and, we have even discovered, Presidential anecdotes are poor substitutes for the facts.

It is the job of Congress to provide for the present and the future needs of the Nation through the creation of effective legislation that will solve today's problems while anticipating tomorrow's.

To do this, I think most agree that we need to know what the present situation is and what likely effect proposed changes will have.

It is part of the administration's job to plan and anticipate, develop and implement effective policies, and to do this well the administration, as well as the legislative branch, needs effective data and statistics.

Until recently, the congressionally created National Institute of Education and the National Center for Educational Statistics performed these functions with regard to their relationship to education.

In October of last year, Secretary Bennett, exercising an option available to him in the Department of Education Organization Act, consolidated and reorganized both NIE and NCES. He said that he was taking the action to achieve greater efficiency and responsiveness in the conduct, support, analysis and dissemination of educational research and statistics.

In that same statement, Secretary Bennett said that the Department has no function more important than the production of high

quality research and accurate information about the condition of all levels of American education.

High quality information about the condition of American education is important and must remain a top priority. How else can we make certain that our Nation's education programs are the best they can be and are responsive to the needs of both today's and tomorrow's Americans?

The Department's reorganization went into effect almost 6 months ago. Sufficient time has passed for things to have settled down after the relative quickness of the reorganization. Today we are here to visit some of these issues again in preparation for reauthorizing the department's research and information function.

We are specifically interested in hearing what steps the administration proposes to, first, improve the quality of education research and statistic gathering, second, improve dissemination, third, involve education practitioners in decision making about the development and use of education research and statistics, fourth, support fundamental and applied research efforts conducted by external groups and individuals, fifth, ensure that the internal and external research and statistic activities are well managed by professional researchers, and finally, to maintain a commitment to a strong peer review system.

At our last hearing on the reauthorization of NIE, my colleague, Congressman Bartlett, said that he was beginning the reauthorization of the National Institute of Education with an open mind. I applaud his approach then and do now, and share his concern that we listen carefully to what is being said and determine our response after these careful deliberations.

The views of our invited witnesses and the views of those who have supplied the committee with written comments are welcome first data for this committee's considerations.

Congressman Bartlett.

Mr. BARTLETT. Thank you, Mr. Chairman. I appreciate this hearing and the chance to explore some of these issues. I enter this hearing with an open mind, although I think as the time for the reauthorization decision comes closer some of the questions are becoming clearer.

It seems to me that at least one whole range of questions has changed since our last hearing, and that is a result of the congressional commitment, which appears to be absolute, to achieve a balanced budget by 1991 through the Gramm-Rudman process.

Gramm-Rudman, in my judgment, is a process that requires setting priorities at every level of congressional decisionmaking prioritizing as to what is more important.

Last year, before we adjourned and during the course of the hearings, I had generally reached the conclusion to, at that time, support the reauthorization of the Office of Education Research but to urge substantial reform and improvements. Many of those reforms and improvements have now been proposed and I am generally happy with the direction of those reforms.

But last year was a different year. That was prior to the congressional commitment to achieve a balanced budget by 1991 and the imposition of the Gramm-Rudman process as an enforcement mechanism.

It seems to me that this year we face a tougher and more significant set of questions in which prioritizing among Federal programs is suddenly paramount, and reforming those Federal programs, while equally important, becomes a second decision and not necessarily the first.

It does seem to me that in the area of Federal aid to elementary and secondary education, programs such as chapter 1, education of the handicapped, vocational rehabilitation, and in some instances perhaps chapter 2, are the major programs that in most everyone's opinion take a higher priority in terms of helping students in this country.

In postsecondary education, access to student loans for all students and Pell grants have that same high priority.

I am prepared today not to answer the question but to pose the question, given the Gramm-Rudman process, the relative priority of the National Institute of Education and the Office of Education Research? It is now a zero sum game. For every winner, there will be a loser, and every dollar that we authorize for education research at the Federal level will come out of dollars that otherwise would go to chapter 1 or education of the handicapped or vocational rehabilitation.

It is not a year, as I know that the chairman knows, for business as usual. It is not a year in which we merely pass over and reauthorize, even with improvements, every program that comes before this subcommittee.

Now, we heard all year, both in hearings as well as in various publications, that those improvements are clearly needed, so that should this Congress choose to reauthorize these functions, we ought to reauthorize them only in a way that makes those improvements.

I may oversimplify but the hearing that we had and also numerous publications indicated that at best, improvements were vitally needed in the area of the National Institute of Education.

Having said that, in my own mind I will attempt in questioning the witnesses and through the coming weeks to differentiate between the various functions of the Office of Education Research to determine what functions are higher priorities within that office in preparation for the reauthorization. I look forward to this hearing and the weeks to come.

Mr. WILLIAMS. Thank you, Mr. Bartlett.

In following your statement, let me comment that as a member of the Budget Committee it is very clear that if the Congress and the President are to meet a deficit of no more than $144 billion, this Congress is going to be required to prioritize in ways it has not done before. It will mean that some Federal efforts which previously received some commitment are now likely to receive none. In my judgment, NIE, or the former NIE, is in a lot of trouble because of its past record and because of the fact that it is not on the front burner for either the Budget Committee, the Appropriations Committee or the U.S. Congress. I, frankly, think it is in a lot of trouble.

Now, I recognize that most of you here today believe that it is a high priority. Others believe star wars is a high priority. Others believe compensatory education is a high priority.

The difficulty for the Congress is that we have no choice but to hit $144 billion and something has to go.

Our first witness today is the Assistant Secretary for the Office of Educational Research and Improvement, representing the Department of Education, our friend, Chester Finn.

Chester, it is nice to see you again. We will appreciate having your testimony, and if you wish to summarize at any point, we would appreciate that, too.

STATEMENT OF CHESTER FINN, ASSISTANT SECRETARY FOR THE OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT, DEPARTMENT OF EDUCATION

Mr. FINN. Good morning, Mr. Chairman and Mr. Bartlett. Thank you for inviting me.

If you would be so kind as to introduce my prepared statement into the record, I would just as soon begin with some less formal remarks, if I may.

Mr. WILLIAMS. Without objection.

Mr. FINN. I am one of these people in the quandary that you just characterized, since all three of the examples that you just gave I regard as high priorities.

Mr. WILLIAMS. But I am going to have to make a choice.

Mr. FINN. I understand that.

Mr. WILLIAMS. Will it be you or star wars?

Mr. FINN. Don't push me to that choice.

I am pleased to make my first appearance before this subcommittee this morning. I hope it is not my last. That would rest somewhat in your hands.

My main task this morning is to recommend, on behalf of the administration, the reauthorization of the research and statistics functions of the Department of Education that are currently authorized under sections 405 and 406 of GEPA and to describe our reauthorization proposals, which make some modest but needed reforms in those authorities.

I also would like to talk a bit about the largely completed reorganization of OERI.

First, however, please indulge me in just a bit of history.

In March 1867, Congress created the first Department of Education, passing an almost unimaginably simple three paragraph statute in which the operative passage described these straightforward purposes for the Federal Government in the field of education:

"* * * collecting such statistics and facts as shall show the condition and progress of education in the several States and territories, and of diffusing such information respecting the organization and management of schools and school systems and methods of teaching as shall aid the people of the United States in the establishment and maintenance of efficient school systems, and otherwise promote the cause of education throughout the country."

I think it is fair to say that what Congress authorized in those words 119 years ago was what we now call the Office of Educational Research and Improvement.

I could not today do a better job of summarizing our function and our mission and our purpose than in those fine old words.

I might note that the chief proponent of the legislation in 1867 was then Representative James A. Garfield, who 15 years later became the 20th President of the United States.

This set of activities authorized in 1867 has been a Federal role ever since, nearly six score years. I think it is fair to describe these as the core Federal functions in education, the ones that would be left even if all the others vanished.

We don't do them as well as we should. We are making considerable efforts within the executive branch to do them better. We will welcome the encouragement, the support and the advice of Congress as we make those efforts.

I don't believe this subcommittee is 120 years old, yet it has a long and honorable role in the renewal and reform of these Federal functions.

One of the better thumbed volumes in my own library is the committee print of the hearings that John Brademas chaired 15 years ago to create a National Institute of Education, hearing at which the leadoff witness was my friend and mentor and sometime employer, now the senior Senator from New York.

I followed with interest your hearings last spring and I am gratified that you are revisiting these important issues now.

I might note, incidentally, that the attention to these matters has been bipartisan for 120 years. James A. Garfield was a Republican, as was Richard Nixon, whose bill Daniel Patrick Moynihan was recommending. Moynihan and Brademas, of course, were both Democrats. This has been a bipartisan effort for as long as I can remember.

The research and statistics role is not just old and familiar. It is also, I suggest, still necessary and important in 1986.

Many Federal statistics indeed are so familiar that we can scarcely imagine what it would be like not to have them, not to know how many kids go to school in this country, how many teachers we employ, how many professors our colleges and universities have, how many degrees they award. These are the basic quantitative statistics. We are also doing a bit better job of appraising not just the quantity of education but also its quality, whether kids are learning anything in school.

I think it is fair to point out that it was OERI's research efforts and, incidentally, OERI's staff to a very great extent, that gave rise to A Nation At Risk and a fair number of the other education reform reports of recent years.

We also sponsor the National Assessment of Educational Progress, which is America's foremost instrument for gauging how much our children are learning across the Nation.

Furthermore, I think there is a special opportunity at the present time to respond to a really great demand across the country for a steady supply of information that reform-minded parents and Governors and legislators and educators can use to improve their schools, and, incidentally, their colleges as well.

We are striving, with mixed success, to be sure, striving to meet those needs and respond to those demands.

I might add here that the interpretation and dissemination and application of educational knowledge have been objects of considerable criticism over the years, and legitimately so.

A very important example of our ability or at least our efforts to try to summarize research information in ways that people will find genuinely useful will appear in about 2 weeks when Secretary Bennett will release a slender volume entitled "What Works," a compilation of several dozen well-established research findings, cast in plain language that can be understood by and we think be useful to parents, teachers, and school board members across the country.

These activities, if I may say in the Gramm-Rudman context, are relatively inexpensive.

The Office of Educational Research and Improvement in the President's 1987 budget comprises less than one-half of 1 percent of the Department of Education's budget.

More to the point, as Secretary Bennett has said several times recently, these activities create genuine opportunities for more efficient and productive use of other educational resources, Federal, State, and local, because they supply some of the information with which others can make better informed investments of their own resources.

In short, the knowledge we generate and the information we disseminate make it possible to get more bang for the educational buck.

The reorganization that Secretary Bennett embarked upon last summer, in consultation with Congress and with many others inside and outside the Government, embodied a consensus view of what was wrong with the old structure and how those problems might be set right in the new.

We now have, as you know, five operating units within OERI, each with a director. The heads of all these units have been named. It is a first-rate team, many members of which are present today in the room. And after several months of shakedown, the reorganization is pretty much in place.

This was not an easy or small or modest undertaking. We still have lots of procedures and systems that aren't working as well as I would like them to. We still have parts of this enterprise that need toning up. But I can see progress and I think we can make more.

We haven't been entirely preoccupied with internal matters in the last few months. One single accomplishment of the past 6 months was the successful completion of a major national competition for the regional education labs and the university-based education research centers.

This happy outcome established some valuable precedents, as well. It established the precedents that participatory planning, open competitions, and rigorous adherence to the principles of peer review are the best ways to engage in major procurements of this kind.

The labs and centers, like other performers of educational research, need to do quality work and be judged accordingly. The labs and centers can have a legitimate role to play in the Nation's educational research structure.

Labs and centers, as you know, account for somewhat more than half of all our resources for research and statistics. We feel very

strongly that those resources, scarce at all times but especially now, should be well spent on behalf of the taxpayer.

With the reorganization substantially in place, with those big competitions over, we are buckling down to work on four main priorities. These are spelled out in the testimony.

Very briefly, they have to do with repairing gaps in our quantitative data base, improving our qualitative or outcomes assessment activities, distilling, synthesizing, and disseminating the fruits of research that has already been done, and finally, investing prudently in worthwhile new research. Those are our four main priorities for the next couple of years.

The reauthorization proposal we have submitted to the Congress is consistent with all that I have said and with the reorganization now in place. It was, incidentally, transmitted this morning, so it has in fact been submitted to the Congress.

This proposed legislation embodies several principles.

It embodies the principle of broad consultation and participation in program planning and project design. It involves adherence to principles of peer review throughout the organization, not just in selecting among competitors for funds, incidentally, but also in planning our work and in reviewing its products.

It also includes the principle of a balanced portfolio of research performers, including unsolicited work from individual scholars and lesser known institutions.

Oftentimes you get the freshest and most imaginative ideas from people you haven't previously heard of, sometimes working in tangential fields at institutions that are not famous. We think it is crucial that Federal support for research and statistics greet such people warmly and regard them as legitimate, alongside the larger and better known institutions that tend to compete for the larger projects.

There is, of course, much more to talk about. Some of it is dealt with in the prepared testimony, much else in the bill that we have submitted and in the accompanying documents.

I would be pleased now to respond to questions, or to elaborate on any of the points that I have touched on.

I thank you again for the opportunity to appear this morning.

[Prepared statement of Chester Finn follows:]

PREPARED STATEMENT OF CHESTER E. FINN, JR., ASSISTANT SECRETARY FOR RESEARCH AND IMPROVEMENT AND COUNSELOR TO THE SECRETARY, U.S. DEPARTMENT OF EDUCATION

Mr. Chairman, it is a pleasure to appear before this subcommittee for the first time. I am also pleased to represent Secretary Bennett.

I would like to begin by recounting some pertinent history. In December 1867, the Congress enacted a statute establishing a Department of Education for the following purposes:

> * * * collecting such statistics and facts as shall show the condition and progress of education in the several States and Territories, and of diffusing such information respecting the organization and management of schools and school systems and methods of teaching as shall aid the people of the United States in the establishment and maintenance of efficient school systems, and otherwise promote the cause of education throughout the country.

This mandate to gather statistics and engage in research pertaining to education is as appropriate today as it was six score years ago. Indeed, it is the core and clearest responsibility of the Federal government in the field of education. The Federal government is uniquely equipped to support and encourage education research, data

collection, and dissemination of knowledge about effective educational practices. The Federal government can economically and efficiently establish uniform procedures and definitions for statistical purposes. Likewise, the Federal government has a unique ability and interest in disseminating knowledge about successful educational practices.

The information that the Department's Office of Educational Research and Improvement produces is so familiar that it requires some effort to visualize its absence. Federal statistics tell us how many students are in our nation's classrooms, how many teachers are at work in those classrooms, and how many professors are training teachers. In the future, we hope to learn more about the characteristics of teachers, where they come from, where and why they leave, and how many more teachers must be found for the classrooms of the next decade. Through Federal activities in the field, we learn how much money is being spent on education and, equally important, what people are studying and how well they are learning. We are so accustomed to knowing these facts that we can easily forget that reports such as A Nation at Risk are only potent when established on a base of solid facts.

Besides collecting data, the Federal government has demonstrated that it can and should sponsor education research of high quality. We know more about what works and what doesn't in the classroom as the result of federally sponsored research. In fact, Secretary Bennett will soon release an important compilation of research findings entitled, "What Works." This slender volume sets forth in easily understandable language more than three dozen findings and conclusions that we believe will be of interest and value to parents, teachers, and education policy-makers across the land as they work together for better education. I think that OERI can also point with pride to its role in the production of "Becoming A Nation of Readers," last year's superb report by the Commission on Reading. That report has been well-received—and properly so—as an excellent distillation of what we know about the learning and teaching of reading. During the past year, we also released the "Reading Report Card" of the National Assessment of Educational Progress (NAEP) which showed that students were reading better in 1984 than in 1971 when NAEP first assessed reading but that, distressingly, minority children's achievement falls far below an acceptable level. These reports and other earlier efforts are tangible evidence that research can produce findings that are both understandable and useful.

In 1867, Congress recognized the obligation to get research findings into the hands of those who could benefit from them. Our major inadequacy thus far has been an unsatisfactory record of disseminating understandable and useful research findings and data to a variety of audiences in the "several States and Territories." We are making a concerted effort to remedy that problem by concentrating the efforts of two divisions of the new OERI on serving the distinctive information needs of professionals, policy-makers, and the lay public.

Because the Administration acknowledges and supports the vital role that the Federal government can play in the generation of education statistics and research, we strongly support reauthorization of the research and data collection functions found in sections 405 and 406 of the General Education Provisions Act (GEPA). Last year, we took steps to revitalize those functions by reorganizing and consolidating the National Institute of Education (NIE) and the National Center for Education Statistics, as well as several other components of the Office of Educational Research and Improvement (OERI). This reorganization effort was an expression of this Administration's commitment to greater efficiency and responsiveness in the conduct, support, analysis, and dissemination of education research and statistics.

The Administration also has submitted for the consideration of the Congress a measure, which I shall outline shortly, that proposes to reauthorize the research and statistics functions of sections 405 and 406 of GEPA, some of which will otherwise expire at the close of this fiscal year.

Let me next turn to a brief summary of the reorganization, some recent OERI accomplishments and present goals, and our reauthorization proposal.

II. REORGANIZATION

Secretary Bennett decided to restructure the Federal education research and statistics operations because he shared the view held by many scholars and policymakers that the structure and operations of the old Office of Educational Research and Improvement and National Institute of Education were inefficient, duplicative, and insufficiently productive. In devising a new framework, the Secretary sought advice from Department officials, members of Congress, expert consultants, the scholarly

community, leading education practitioners, those with experience under the previous structure that reflected a consensus among those who advised the Secretary.

Secretary Bennett officially initiated the reorganization of OERI on July 2, 1985. At that time, he notified Congress of his intent to restructure in 90 days the various research and data collection functions found in sections 405 and 406 of GEPA, as well as certain other activities of the Office of Educational Research and Improvement. During that 90-day period and beyond, the Secretary responded to questions and comments from members of Congress, the public, and the press. On October 27, 1985, at the end of the 90-day period and after some additional time for intra-departmental management actions, the reorganization took effect, and the new OERI came into being.

As you know, the restructuring of the Department's educational research enterprise involved the consolidation of the Office of Educational Research and Improvement, the National Institute of Education, the National Council on Educational Research, the National Center for Education Statistics and the Center for Libraries and Education Improvement. OERI now includes five program units: the Office of Research; the Center for Statistics; Programs for the Improvement of Practice; Information Services; and Library Programs.

The Office of Research retains most of the familiar functions of the National Institute of Education dealing with the conduct of research. The overriding goal of this Office over the next several years will be to develop reliable knowledge that people can use to solve pressing problems in education.

The Center for Statistics retains most of the functions of the National Center for Education Statistics and assumes responsibility for monitoring the National Assessment of Educational Progress. Through it, we will continue to gather, analyze, and synthesize data on the characteristics and performance of American education, and we are striving to do this faster and better.

Programs for the Improvement of Practice (PIP) are aimed at narrowing the gap between what is known and what is done about American education. In other words, the primary mission of this unit is to ensure that research findings and information about exemplary practices are easily accessible to education practitioners. The function of the Programs for the Improvement of Practice is to examine, organize, and communicate these research findings and exemplary practices to those we depend upon to bring about reform and renewal in American education.

Information Services addresses the more specialized information needs of parents, policy-makers, journalists, and scholars. To gain the full value of educational research, the Secretary believes that we needed to make such knowledge more accessible and understandable to those who could benefit from it. Information Services also administers the Education Resources Information Center (ERIC), the world's largest computerized bibliographic education information system.

Our fifth component, Library Programs, continues to make Federal grants to support operations of public libraries and to aid research libraries.

III. ACCOMPLISHMENTS AND GOALS

Many of our efforts these past few months have been concerned with management, personnel, and resource allocation. Reshaping an organization of this size and complexity is difficult. We are convinced, however, that we have an OERI that can achieve the important scientific and educational goals that Congress and the President have established for it. Moreover, we have not been sitting still; much good work has gone on during the transition period.

One of the major accomplishments of the last several years has been the reconstruction, with encouragement by Congress, of the regional laboratory and research centers network. For the first time, we now have a nationwide system of laboratories prepared to serve all regions of the country. Likewise, the ten new centers and four already in existence are better prepared to serve the nation's research needs. Almost every center has entered into a consortium arrangement with scholars and universities in other states. Thanks in large part to the work of my predecessors and the staff, the process for making these awards was open, fair, professional and efficient. The competition was based on almost two years of public consultation that included hearings, expert study group deliberations, and advice from the Congress, individual experts and practitioners around the country. The competition resulted in grants for centers and contracts for laboratories that can total up to $150 million over the next five years.

As you know, the regional laboratories and the university-based research centers were created to increase the nation's institutional capacity for responding to significant educational problems on a national and regional basis. Specific missions, func-

tions, and governance structures have been carefully defined for the regional laboratories and for each of the centers. The centers' missions are in the areas of teacher education; student testing, evaluation, and standards; writing; learning; effective secondary schools; effective elementary schools; education and employment; postsecondary management and governance; postsecondary teaching and learning; and State and local policy development in education. Four other centers (on teaching; reading; bilingual and foreign languages; and technology) resulted from earlier competitions. We also are committed to devoting substantial resources to studying teacher quality.

The laboratory and center competition is a milestone in several respects:

(1) It represented the first full recompetition of the laboratories and centers since their creation in the nineteen sixties.

(2) It served as a model for future competitions in that it embodied a rigorous, open and participatory planning process and the use of peer review to appraise quality.

(3) It represented a renewed Federal commitment to the concept of laboratories and centers as legitimate means of responding to significant educational problems on a national and regional basis.

Besides our work with the laboratories and centers, we are readying for publication the 1986 Condition of Education Report. We have already announced initial plans for a major redesign of our elementary and secondary school data collection system. To rekindle the process of encouraging promising and fresh ideas from different sources, we have recently announced that the Office of Research is accepting proposals under an "unsolicited grants" program. Peer review panels will advise us regarding competitions, and the Secretary anticipates making awards periodically during the year.

To guide our continuing and future work, we have established four top priorities (joined, of course, by many others):

Repairing the nation's education data base. It is our foremost responsibility but today our data base is not what it should be.

Enlarging our understanding of educational outcomes and quality by strengthening such activities as the National Assessment of Educational Progress.

Improving efforts to disseminate useful, reliable, and timely information to educators, policymakers, the public and the media.

Replenishing the intellectual capital of education through well-chosen programs of research into important issues.

In the months ahead, the Center for Statistics will concentrate on the first of these priorities—repairing the data base. The Center will generate detailed statistics on instructional staff at all educational levels; we will provide new and more comprehensive outcome measures through longitudinal studies, assessment, and international comparisons; we will provide the first comprehensive national data on student financial aid; and we will develop better education indicators for the annual, Congressionally mandated, Condition of Education report. We will also expand the coverage of our postsecondary education statistics by doubling the number of postsecondary institutions we will survey—from 8,000 to 16,000. We call this program the Integrated Postsecondary Education Data System. I will play a key role in strengthening the data base.

As I noted earlier, the Office of Research will be largely responsible for defining and implementing our research efforts. The Office will devote a large amount of its energies to developing a solid and productive partnership with the centers, as well as with other scholars and practitioners, to assure the optimal use of limited research funds. Moreover, the research staff is developing a planning and monitoring system that will identify high priority policy questions for all our research activities.

The Programs for the Improvement of Practice staff will be involved in over a dozen major programs designed to support, facilitate, and enhance the exchange of information on improving educational practice nationwide. For instance, the division will develop, assemble, and present summaries of information on the status of educational practice, reforms, and improvement efforts occurring across the United States.

To help increase public awareness of and access to educational data and research, Information Services is about to launch a "quick response" toll-free telephone service for people who need information about education in a hurry. In addition, Information Services is making our Department library more accessible to educators and the public. Information Services is also examining the structure and performance of the ERIC system. We will also be considering the feasibility of increasing the databases for ERIC and developing low-cost subject area database subsets for use on

microcomputers. This in an effort to increase the utility of the ERIC system for educational scholars and students and—perhaps even more importantly—for practitioners, policymakers, and the general public.

IV. REAUTHORIZATION

We have submitted for the consideration of the Congress a proposed reauthorization measure. It is a straightforward attempt to update sections 405 and 406 of GEPA, retaining the major features and purposes contained in those sections. The bill was developed with due regard for what this Committee has heard in past hearings, and after much informal consultation, over a long period, with many in and out of government who are deeply interested in the progress of educational research. This proposal retains for the complete entity the current name of "The Office of Educational Research and Improvement."

We have attempted in our legislative proposal to modify sections 405 and 406 of GEPA to make them compatible with the reorganization plan now in effect, to heed a number of sound recommendations, and to improve the quality and performance of the agency.

(1) Our proposal vests authority in the Secretary for the conduct and support of the section 405 and 406 activities.

(2) The research and development policies and priorities contained in section 405 have been updated.

(3) The National Council on Educational Research has been reauthorized as the National Advisory Council on Educational Research and Improvement. It will be a Presidentially appointed advisory body and its advisory function will conform with the Charter developed for it under the reorganization plan of last July.

(4) The proposal requires the Secretary to achieve a balanced portfolio in the procurement of educational research from regional laboratories and research and development centers, and through solicited and unsolicited proposals from individual researchers, and other institutions (including institutions of higher education).

(5) To ensure quality in all awards made by OERI, we have added a new paragraph to section 405 that provides that in making awards the Secretary shall, to the extent possible—

(a) solicit recommendations and advice regarding research priorities, opportunities and strategies from qualified experts, such as education professionals and policymakers, personnel of the regional educational laboratories and of the research and development centers, the Council, as well as parents and other members of the general public;

(b) employ suitable selection procedures embodying the principles of peer review; and,

(c) determine that the activities will be of high quality, will be efficiently conducted, and will be consistent with of the purposes and priorities of the Office;

(6) The measure combines in one authorization the various authorizations of appropriations for NIE, NAEP, and NCES.

(7) The proposal contains numerous technical changes to reflect the reconfiguration of the Office of Educational Research and Improvement and eliminates outdated or unnecessary provisions.

(8) The bill would terminate FEDAC, whose functions have been made redundant by the Paperwork Reduction Act.

The Secretary and I welcome questions and suggestions from members of Congress about this proposal and about the improvements under way within OERI. I look forward to working with the Congress during the reauthorization process. Let me note in closing, as I said at the outset, that this set of functions and activities has been a Federal responsibility since 1867; it is reasonably described as a singularly important element of the Federal role in education. I share Secretary Bennett's oft-stated conviction that the American people, equipped with reliable information, accurate data, and solid research findings, can be counted upon to fix their own schools and postsecondary institutions. OERI is the largest single source, within the Department of Education, of such information, data and research findings. For this reason, and for others, it warrants reauthorization.

Thank you for the opportunity to appear before the Subcommittee today. I will be happy to answer your questions.

Mr. WILLIAMS. Thank you very much.

Before I go first to Mr. Bartlett for questions, let me pick up where you left off in reading the text from the Organic Act which established the first Federal Department of Education.

"There shall be appointed by the President, by and with the advice and consent of the Senate, a Commissioner of Education who shall be entrusted with the management of the department herein established and who shall receive a salary of $4,000 per annum and who shall have authority to appoint one chief clerk of his department, who shall receive a salary of $2,000 per annum, one clerk who shall receive $1,800 per annum, and one clerk who shall receive a salary of $1,600 per annum," and we didn't even need Gramm-Rudman to do it. Can you imagine that?

Mr. Bartlett.

Mr. FINN. If I may comment, sir?

Mr. WILLIAMS. Yes.

Mr. FINN. Approximately a year later, Henry Barnard, having gotten in some trouble with the Congress for whatever he had done as the first Commissioner of Education, one of his three clerks was removed by Congress and Barnard's salary was reduced by $1,000. Perhaps Gramm-Rudman was operative.

Mr. WILLIAMS. Was there an American Federation of Government Employees then?

Mr. FINN. If so, it was in its infant stages.

Mr. WILLIAMS. Well, now we know why there is one.

Mr. BARTLETT. So, therefore, if we could reduce the size to $9,400 a year, even recapturing that $1,000 a year that was reduced.

First of all, let me suggest to you that as we begin 1986, this is not an easy kind of hearing to have. It is always much easier to have the kind of hearings in which you examine all of the programs, some good, some bad. The ones that are bad you try to improve and then reauthorize and have them continue. That is the easy way and that is really what Congress has done for the last 15 years.

So, I don't know whether this is the first subcommittee to have a hearing such as this in 1986, but we may well be. We are at least one of the first.

I would suggest that all that Chairman Williams and I can do is to do our job and to make our best decisions based on what we believe is best for the country, to prioritize these functions as compared to other functions within education.

By no means would the Office of Educational Research by itself balance the Federal budget, but of course that is the difficulty: There is nothing that by itself would balance the Federal budget.

So, perhaps this subcommittee can set an example. I believe frankly the committees of this Congress will follow generally the same procedure, but whether others follow that example matters not. I think that is the direction we in this subcommittee ought to take.

I also want to say that I want to compliment the appointment of the Assistant Secretary Chester Finn. In my judgment, your qualifications, your background, and your approach to the job, in terms of making improvements are exemplary. You have already demonstrated that you are one of the best in the role at the Office of Assistant Secretary for Research. And I think you are a valuable member of the administration.

My first question is, could you paraphrase for us when you changed your mind and what caused you to change your mind as to whether the NIE is salvagable?

You were one of the most vociferous critics of the NIE as late as 1983, in fact saying that there was no hope for it. I am paraphrasing, so you can correct me if I am paraphrasing incorrectly. But essentially, the theme of your thoughts was that we shouldn't even consider reauthorizing it, that we ought to just stop, that there was basically no hope.

You have clearly changed your mind. I just wonder if you could tell us when and what caused you to change your mind, that there is some hope for the NIE or something like it?

Mr. FINN. First, thank you very much for the kind personal comments.

Some people have suggested that there is no side of any issue in education that I haven't taken at one time or other or at least written on. This may be true.

I think the simplest answer to your very good question is that I changed my mind when Bill Bennett asked me several times in a row if I would try to fix it, which is to say I didn't change my mind about the fact that it was broken. What I did was accept his challenge to try to fix it.

This was, of course, approximately a year ago when this sequence of events began.

I believe even more strongly after 8 months of experience that while there are lots of parts that are broken and others that are creaking. In fact, we have got some good machinery and it is fixable. This is worth doing, because the payoff, if we are successful, would be worth having.

Now, that is not to suggest that I have changed my past criticisms. I think they were valid and to some extent still are. But we are trying to set it right and I don't know whether we will succeed. I think we may.

Mr. BARTLETT. Could you tell us, in your judgment, what are the most important reforms that you are proposing in this legislation, perhaps in priority order of one, two and three? What are the most important things you are proposing that will, to use the simple term, fix it?

Mr. FINN. Well, first, of course, we have suggested in the legislation, as we did in the reorganization, that some of the structural impediments to effective operation be erased—the layering, duplication, rival power centers, and complicated organizational interrelationships.

To a considerable extent, we think the bill would solve those problems without creating new ones.

Second, we are trying very hard to apply what I call principles of quality control to everything we do, including the procurement of research, the analysis of data, and the decisions about which things the Federal Government, at least, should publish. A large part of our quality control strategy involves principles of peer review, outside review, outside participation throughout, and nothing occurring in secret or on a whim.

So, quality control is the second point.

Mr. BARTLETT. Let me stop you at that. The commitment to quality control, is that legislative or is that merely an administrative action? That is, how have you implemented that?

Mr. FINN. Well, it appears at several points in the bill. It appears, for example, in a provision that all procurements should adhere to the principles of peer review and that they should all be of high quality.

To my knowledge, the Congress has never before instructed the executive branch that these principles should be applied to the work of this agency. That means it was optional before.

We are trying to apply them everywhere. I wouldn't mind at all being instructed to apply them everywhere. But it is also a set of administrative actions that we are, in fact, engaged in already. Incidentally, these principles and administrative actions were not all invented by me and my team. For example, a very complicated two-tier peer review system, reminiscent of the NIH system, was applied to the labs and centers competitions last year. I think there is a good deal of merit in that approach, though this was not my doing. As a matter of fact, a committee of outside advisors suggested this two-tier peer review system for the lab and center competition, and I think it was a good idea.

We are also trying, as I said, to apply similar principles to other sets of things that we are doing.

The third large change that I think we are trying to make is to get the knowledge that we have access to, some of which we pay for the production of but not all, into forms that can be understood and used by and into the hands of people who might want to understand and use them. This has a lot to do with various forms of dissemination and distribution of knowledge.

The single loudest criticism of NIE over its entire lifespan was, gee, you people do all this research but nobody ever benefits from it. We are already trying very hard to fix that aspect of our enterprise.

In fact, both of the two fundamentally new units within the five that we have created in the reorganization have, in different ways, to do with dissemination, not with the production of knowledge, but with its dissemination and utilization.

So, those are the three large points I would make under the heading of fix it.

Mr. WILLIAMS. The gentleman's time has expired.

Mr. Martinez.

Mr. MARTINEZ. Yes; I am not sure I understand all this. Every time I hear about a reorganization, it has really to do with programs that affect the people that we are really interested in helping.

But I am interested in one specific aspect of it in regards to your duties as chairman of the new interdepartmental task force, in one specific area, and that is the area of bilingual education.

Your activities in the research and education of bilingual education, could you give us an update on that?

Mr. FINN. Yes, sir. Regrettably, it is a very brief update. The flesh is sometimes weak, and one of the things that we have not succeeded in doing yet, subsequent to the reorganization, is to turn

the recommended task force on research priorities into a going concern.

A set of options for getting it chartered and established is currently circulating in the Department, having to do with the relationship between the Research Office and the Evaluation Office and the Policy Analysis Office, and I am determined that this task force will both be convened by the Secretary and hold its first meeting within a matter of weeks now. But we have failed thus far to convene that group.

The idea was quite simple and it remains, I think, desirable. It is that the various units of the Department that engage in research, which are not just OERI but also, as you suggest, bilingual, handicapped, vocational, and so on, should be better informed about what each other are doing and, quite simply, be able to exchange information, avoid duplication, benefit from each other's experience, knowledge, and perhaps mistakes.

The task force is intended to achieve those things. I hope it will achieve those things. It will meet soon.

Mr. MARTINEZ. Is the task force going to come up with some kind of recommendation on these programs they are studying, to do away with or to improve or whatever?

Mr. FINN. No, sir. The purview of the task force is only the research functions, not the program functions.

Mr. MARTINEZ. What is going to happen with that research after you have gathered it? After you have done research and gathered the information, what are you going to do with it?

Mr. FINN. The task force will try to help the different components of the Department, including the Office of Bilingual Education and Minority Language Affairs, to be better informed about other educational research that might be of use to the Bilingual Office and for us to learn more about what they are doing.

Mr. MARTINEZ. What is the ultimate purpose of it, though? What do you intend to do with it?

Mr. FINN. The purpose of the task force, sir, is simply efficiency and better and improved communications. Each unit is doing its own research. The task force won't be the performer of the research.

Mr. MARTINEZ. Maybe, I think, in simplistic terms, then, that is the problem. If I want somebody to do research and find out about something, I want that research done for a specific reason, to be able to do something about what I find is wrong, if there is something wrong, or to improve if I need to improve. And if the task force is just doing research and then sits on the information, that was a criticism you just made of NIE.

What I am asking is, after you have done this research and you have compiled this information and this task force then is sitting there with all this, what is going to happen? What are they doing to do with it?

Mr. FINN. We will encourage, for example, Carol Whitten in the Office of Bilingual Education and Minority Language Affairs to devise better means of disseminating the research being done by her office.

Incidentally, OERI also sponsors the Center on Bilingual Education Research at UCLA. That is part of my job. They are part of

the whole dissemination network that I described a few minutes ago without regard to the task force.

But I don't want to overpromise on the task force, sir. It will not itself be engaging in research. It will merely be trying to keep the different parts of the Department that are engaged in research better informed about each other's pursuits.

Mr. MARTINEZ. So, it is going to be like a coordinating council?

Mr. FINN. Yes, sir.

Mr. MARTINEZ. They ought to probably invent a better name for it.

Mr. FINN. We could rename it.

Mr. MARTINEZ. The point is that I am particularly interested because if all you are going to do is coordinate that Department—that Department, let's say the bilingual department is not duplicating what other people are doing, I don't see how they really could because that is a very specific program, that somehow or another you don't get caught up in the idea that—because I know the sentiments of the Secretary of Education on bilingual education, the crux or the nexus here. But if he knew about—he knows about as much about bilingual on the tip of my little finger because he has really never experienced it, never had the problems that our people are encountering in communities having to deal with English as a second language, and becoming productive human beings in our society, which none of them are really depending or using bilingual education as a crutch. All of them want to learn English as rapidly as they can. They sometimes have to, because of peculiar reasons of their first language, revert to that first language, and this is the thing that seems to offend a lot of people, that people could depend on some other language other than English.

But if all they are going to do is do what you say, to keep the Department separated from their different overlapping activities, that if a fine, fine thing. I don't know that you really need a whole task force to do that, but if you had some directives from people that said these are your parameters, work within them, and then if they overstep those parameters the agency that they stepped on or the Department that they stepped on the shoes of would tell that director and that director would do his job of directing.

But be that as it is, that is my own opinion.

I am really concerned that we don't come up with something that eventually ends up with this so-called research done on the wrong basis from the wrong sources, that in making a determination that jeopardizing a program that is already in jeopardy because of the people here that were shortsighted and can't see the good that it does and can't see the necessity for it, ending up in some kind of a recommendation or some kind of fuel for Secretary Bennett to carry his goal further to abolish that.

Mr. FINN. Sir, you misrepresent the Secretary's view on bilingual education.

Mr. MARTINEZ. Not from the statements I have read in the paper. Now, if those statements are wrong and he is misquoted in the paper, then I——

Mr. FINN. Let me also observe again, since we were talking earlier about Gramm-Rudman, that one of the relatively few programs in the Department to receive no reduction in the President's fiscal

year 1987 budget was the bilingual program, which the Secretary has worked very hard to maintain at its current funding level.

He is, as you know, proposing some reforms in that program.

Mr. WILLIAMS. The gentleman's time has expired.

Mr. Finn, let me follow that. The polls I have seen, and like everyone else I have an allergy to polls because the responses depend on what questions were asked, who asked them, and to some degree who scored them. But nonetheless, I think the bulk of information coming from a number of polls over the last several years seem to indicate that perhaps the President and the Secretary's budget should not have done that, what you correctly describe it has done, and that is to show an increase only in this area.

It seems to me that the American people do not support the continued collecting of educational data as much as they support the continuation of providing Pell grants and student loans to young people wishing to go to college, as much as they support increases in compensatory education, increases in hot lunch programs, increases in Head Start and on perhaps ad nauseum.

That is the dilemma for the Congress that I spoke of earlier. I hasten to add something I think you know. That is, I am not sure that those polls reflect what we really ought to do in education in America. It is unusual that this administration, which has appeared to follow the popular will, appears not to be doing so with regard to the education budget.

Mr. FINN. If I may comment, sir, on the budget, as I said earlier, the entire OERI budget with its proposed increase represents 46/10,000ths of the Department of Education budget with its proposed decrease. So, we are, in dollar terms, a very small part of the total.

But let me also say that it is the Secretary's view that this suggested $10 million increase represents an investment that could yield savings on other fronts, both for State and local education agencies as well as for the Federal Government, because if you know more about things you are less likely to do things that don't work, you are less likely to invest larger sums of funds without effect, and this is therefore an investment in knowledge that could yield efficiencies as well as knowledge.

Mr. WILLIAMS. I hear you. What is the administration proposing in some specifics, if you will, regarding the support of fundamental and applied research effort conducted by external groups and individuals?

Mr. FINN. Well, sir, first of all, we have been pleased with our relatively meager fiscal year 1986 funds to be able to reinstitute something that has been dormant for several years, an unsolicited grants competition. Not very much money can be spent on it because most of our money is committed to other purposes, but we have absolutely vowed that we are open this year to proposals that we don't request and I have been informed by my staff, who have been through these things in earlier eras, that we should expect hundreds of these.

We will at most be able to fund a few, alas, but we have declared our willingness.

The bill before you also stipulates that, along with labs and centers, the Secretary of Education shall fund individuals and institutions, both solicited and unsolicited. This will be the first time, I

believe, that this practice has been mandated for the Department of Education to carry out as part of its functions.

We believe this is a very important mandate. It is consistent with the balanced portfolio concept. It, of course, does not speak to the allocation of resources among these several functions, but we think it is a very important function.

As I suggested earlier, I think there is a bit of an equity question here. Just because you are not famous in the field of education and don't work at a large institution doesn't mean that you don't have a terrific idea that if modestly supported might lead to something worth finding out that somebody else of a more conventional mind might not have thought of.

We want to be open to this kind of new idea from nonestablished people at nonfamous institutions, and we are doing that. The bill would do that permanently.

Mr. WILLIAMS. As you know, a few years ago there was a congressionally mandated study of chapter 1. I understand that that is going to be conducted by the Office of Education Research and Improvement. Tell me what procedures you will be following to ensure the independence of the studies and the analysis mandated by section 559 of chapter 1?

Mr. FINN. Yes, sir. With regard to the chapter 1 study, the first interim report is actually due up here within a month or so, the second interim report next summer and the final report about a year from now.

I think the proof will be in the pudding. That is to say, I think that the integrity of the analysis and the data will be manifest in the reports that you see.

Most of the underlying data gathering and analysis are being done by respected independent data gathering firms that have contracted to carry out various portions of the study, and those documents will, of course, be available themselves.

In addition, the staff, which is a high quality staff, not selected by me incidentally, will be writing a relatively brief analysis and interpretation to accompany these independently produced reports.

Mr. WILLIAMS. Are independent groups going to review the initial report or any of the reports along the way before they are transmitted to the Congress?

Mr. FINN. I don't know whether there is currently any plan to have a peer review of the draft report before it is transmitted, but that is an excellent suggestion.

Mr. WILLIAMS. It is not a suggestion. It is a question.

Mr. FINN. It would be perfectly consistent with what we are trying to do with the other work that we are doing, but I don't know whether it is currently in the plan. I will find out and get back to you on that. And if not, we will seriously consider putting it into the plan, if we can do that without serious delay.

All reports to Congress appear to be delayed.

Mr. WILLIAMS. I also understand that the Carl Perkins Vocational Education Act has been determined to be studied not by the Office of Educational Research and Improvement but rather by the Office of Planning, Budget and Evaluation. Why that jurisdiction, rather than the Office of Educational Research and Improvement?

Mr. FINN. Well, it is an interesting question, sir. Not everyone in the world agrees with the way we have decided to resolve it. But we think there is good reason for the resolution.

The Department has an evaluation shop and it is not in the Office of Educational Research and Improvement. It is in the Office of Planning, Budget and Evaluation, and that office is supposed to sponsor and conduct, and does sponsor and conduct, program evaluations of many kinds, and they do this all the time and they send an annual evaluation report to the Congress, a very thick document full of many evaluation reports.

It is our view that OERI is not principally the monitor of other Department programs. It is principally the follower of American education in general, and it is not our place, frankly, to be the judge of other programs that the Department of Education is actually conducting.

And therefore, it really is a philosophical matter. We believe that future program evaluation ought to be conducted by the Office of Evaluation, with expert assistance as need be from disinterested but expert people on our staff. They are, incidentally, participating in the vocational education study planning with the OPBE office.

But we have proposed in the reorganization plan that future evaluations will be carried out in the Evaluation Office.

We retained the chapter 1 study because it was already very substantially completed, but the vocational education study was only beginning, and there is now a team, including some OERI staff members, that is designing that, putting out initial planning contract offers and seeking a distinguished outside director for that study.

Mr. WILLIAMS. We will go to a second round of questions for the Assistant Secretary, and with permission of my two colleagues I would like to limit this round to 3 minutes each.

Mr. Bartlett.

Mr. BARTLETT. Thank you, Mr. Chairman.

I want to pick up on your last point. As I understood what you are proposing to do in the legislation on dissemination is to add on dissemination employees at each division, but I am sure I am overstating that. But how do you propose to cause dissemination to happen? Was it the addition of employees who would focus on dissemination? Or did you use some existing funds? Are there things that you stopped doing so you would begin doing dissemination? That is half the question.

The second half of the question is, who do you plan to disseminate the information to and how would they plan to use it and how do you plan to get it to them?

The focus of my question is, the research that comes or data collection that comes from the Office of Educational Research, is there anything there that will help the third grade teacher in Del Rio, TX, teach her students better?

Mr. FINN. I hope the answer in short order will be yes. It may already be yes.

As to your first point first, sir, we are not growing, we are shrinking. We have fewer employees in OERI now than we had a year ago, and we will have fewer a year from now than we have today.

So, while we have been able, due to attrition, to hire some additional people, including a very distinguished new head for our information service, which is one of our principal dissemination units—in fact, people have been reassigned as part of the reorganization. So, the total personnel count is not up at all.

In fiscal year 1986 we are doing the disseminating that we are doing under the current budget. It has to be said that NIE and NCES had dissemination functions. The question is whether they were being adequately carried out.

We have created two units whose principal task is dissemination, two of our five units, programs for the improvement of practice, which we call PIP, headed by Milton Goldberg, who was the staff director of the excellence commission, handles the regional labs, the elementary and secondary school recognition programs, the translation of research into intelligible forms and a number of other activities aimed mainly at the education profession.

The principal audience of PIP is education professionals of all kinds around the country, and they are going to be communicated with in a lot of different ways, including published items, meetings, networking, using existing——

Mr. BARTLETT. Mr. Secretary, if I could interrupt you, I am not sure what you mean by the term "education professional." Does that mean teacher, or does that mean principal, or does it mean academician or superintendent, or all of the above or some of the above?

Mr. FINN. Well, let me circle back to that in 10 seconds by saying that the other dissemination unit, which is called the Information Service, headed by Jim Bencivenga, is aimed at disseminating educational knowledge to the general public, to the academic community, to policymakers and to the media.

So, we have, in effect, bifurcated these two responsibilities. I am oversimplifying a bit, but we have bifurcated these two responsibilities.

Programs for the improvement of practice, when I say it deals with the professional, I mean the teacher, the principal, on up to the superintendent, and the college professor, all kinds of people who are employed by and work in educational institutions. That is PIP's clientele.

Now, how to communicate with them? You have to tell me or someone should tell me what the particular teacher in Del Rio that you have in mind likes to read, or likes to watch on television, or likes to receive in the mail, or likes to have visit her school. Because we would be happy to work through any or all of those mechanisms to communicate with her with information that she would find useful and worth having.

What is harder to find out, frankly, is in what way would she like to be communicated with. Does she read the Phi Delta Kappan? Does she read the Del Rio newspaper? Or does she read something else that we could put an explanation or a synthesis or a summary in?

Mr. BARTLETT. In the 1 minute remaining to me, Mr. Secretary, I wonder if you could tell us, in your judgment, which are the most essential functions of the office? And if you would dare to step into the swampland, which are the least essential? But at least tell us

which, in your judgment, are the most essential functions, as measured by importance to educating students in the country?

Mr. FINN. Well, sir, I think we would have to put the statistics gathering and assessment functions at the top of the list of being most essential. I think that without this basic information we would find ourselves really quite sorry a few years later.

I think that the dissemination of previously accumulated educational research is next most essential, if we can interpret it and get it into people's hands.

The problem is that those two things would eventually leave the warehouse bare. We would have disseminated everything that we know and there would be nothing left to tell people that might help them still further.

So, that is where you get into the question of new research. It is probably the least essential but it is the only way to plan for the next century in terms of what we might want to know then.

Several of the people who will follow me this morning will, I am sure, attest to the importance of new research.

Mr. BARTLETT. Mr. Chairman, if I could ask a question for the record, because I don't know that you would have it today, but for the record, could you develop a percentage? What is the amount of new research on education that is done by the Office of Educational Research as a percentage of all new education research that is done in the country? Is that an achievable number?

Mr. FINN. We could approximate it. The numerator would be no problem. The denominator is a little harder to estimate, because we don't know who all is doing it. But we certainly will give you an approximation.

Mr. BARTLETT. Thank you.

Mr. Chairman, I would ask unanimous consent that the record be left open.

Mr. WILLIAMS. Without objection.

[Information referred to follows:]

Question. Could you develop an appproximation of new research as a proportion of all research?

Answer. About 1/5 of our fiscal year 1987 request is to support new research projects. The Department is requesting $24.8 million for the Office of Research in 1987. Of this $24.8 million, it is expected that $19.8 million would be used to continue activities begun prior to fiscal year 1987, and $5 million would be used for promising new projects that would allow researchers to consider fundamental questions about a variety of topics, including early childhood education and school readiness; parental choice and involvement in education; teaching and learning in particular content areas, such as arts, humanities, science and mathematics; improving school leadership; characteristics of effective school administrators; the costs and benefits of particular kinds of postsecondary education; and the efficacy of State and local education reform activities and implementation issues associated with these.

Mr. WILLIAMS. Mr. Martinez.

Mr. MARTINEZ. Mr. Secretary, I realize that the administration wants to eliminate all library programs and it should be just as obvious to you that the Congress intends to continue a modest Federal role in support of those.

I question whether the programs are given the support and visibility they deserve when the Department seems determined to make them as invisible as possible.

The libraries don't show up in the mission statement for OERI, and the library surveys are not mentioned in the mission statements for the center for statistics. There is precious little about them in the budget documents and departmental releases.

What is the underlying rationale for such neglect and what do you intend to do about it?

Mr. FINN. Well, sir, we believe that we have raised the visibility of library programs by giving them their own new unit, one of the five without OERI. It is entitled Library Programs. We have successfully recruited a distinguished library expert to run the library programs unit.

As you know, in fiscal year 1986, the library programs comprise something in the order of 60 percent of OERI's total funds.

We have got a considerable enthusiasm for seeing that while we are running these that they are run well, professionally, according to the principles of peer review.

I have to say that your statement of our budget proposal is correct and, therefore, the budget documents do as you say.

Mr. MARTINEZ. What is the present funding level recommended?

Mr. FINN. The funding level recommended for the six categorical programs in fiscal year 1987 is as it has been for the last several years, zero. The current funding level in fiscal year 1986 is approximately $127 million. There is a rescission proposed for a portion of that in fiscal year 1986.

Mr. MARTINEZ. Thank you.

Mr. WILLIAMS. Mr. Finn, I will send you in writing a couple of questions having to do with accepted hiring authority under the General Education Provisions Act, and I would appreciate a fairly early response, when you can, so that I can include it, both my question and your response, within the hearing record.

[The information follows:]

U.S. DEPARTMENT OF EDUCATION,
March 7, 1986.

Hon. PAT WILLIAMS,
Chairman, Subcommittee on Select Education, House of Representatives, Washington, DC.

DEAR MR. CHAIRMAN: Enclosed are responses to the seven questions you sent me following the hearing on February 19 on the reauthorization of the research and statistics functions of the Office of Educational Research and Improvement (OERI). Also enclosed are promised responses to two questions raised orally during my testimony.

Thank you for your encouraging words about the hearing. We value your interest in OERI and look forward to working closely with you and your staff on the reauthorization of our research and statistics functions.

Sincerely,

CHESTER E. FINN, Jr.,
Assistant Secretary and
Counselor to the Secretary.

WILLIAMS REAUTHORIZATION QUESTIONS

Question 1. "Excepted personnel authority" enacted in the original 1972 legislation, allows for the three-year appointment of technical and professional staff, without regard to established standards of competitive service, classification schedules, and pay rates.

This authority, which was modeled after a similar research authority at the National Science Foundation and the National Institutes of Health, was reluctantly granted. The conferees noted that civil service procedure could make it difficult to

hire "top scholars" and that such "exceptionally talented individuals" were needed for the National Institute of Education to successfully complete its mission.

Please explain the Department's view of this authority, and tell how it is being used. Please submit the names of all excepted personnel, their current job description, the number and grades of employees they supervise, if any, and the length of their tenure within the Department.

Answer. The Department views the Excepted Personnel Authority as a management tool that allows OERI to hire qualified personnel with the skills, talents, and competencies in research and education needed to carry out successfully its mission. The Department has used the excepted authority in OERI in accordance with this philosophy. The excepted authority permits and facilitates hiring of academicians, practicing educators, researchers, and others who might not otherwise join the Federal service. This authority allows the Department to employ specialists with the various scientific, professional and technical expertise needed to fulfill OERI requirements and ensures a continuing source of fresh ideas and the latest in research methodology which only a periodic change in staff can assure.

The excepted appointing authority is being used to hire needed scientific, technical, and professional staff. For example, the recent reorganization of OERI created vacancies in several key positions, which we have been able to fill relatively quickly with exceptional individuals because of the flexibility afforded under the excepted appointing authority.

The attached policy statement and implementing procedures (for non-bargaining unit employees), effective February 23, 1986, provides additional information on how the authority is being used and for what purposes. Also included are a list of all current excepted appointees (appointed under either the GEPA 405(e) authority or under Section 401(c) of the Department of Education Organization Act), their position titles and lengths of tenure, and a list with the names of excepted appointees in supervisory positions and the number and grade levels of employees they supervise.

At the moment, as part of the reorganization procedure, OERI position descriptions are being classified by the Department's Personnel Office, as required by law. If the Committee wishes, the Department would be pleased to send copies of the position descriptions of excepted appointees when they have been approved by the Personnel Office.

Attachments.

EFFECTIVE DATE: February 23, 1986

OFFICE OF EDUCATIONAL RESEARCH AND IMPROVEMENT

POLICY FOR USE OF EXCEPTED APPOINTING AUTHORITIES

This sets forth policies and responsibilities for recruitment, appointment, promotion, and retention decisions and actions taken under the Excepted Appointing Authorities, cited below, for non- bargaining unit employees as defined in law and the Collective Bargaining Agreement between the U.S. Department of Education and the National Council of Department of Education Locals, Council 252, American Federation of Government Employees. The skills, experience, and talents of persons hired under the Excepted Appointing Authorities represent an important OERI resource which must be managed and used effectively.

1. PURPOSE

The Excepted Appointing Authorities are used by the Office of Educational Research and Improvement (OERI) to complement its staff of General Schedule employees with the scientific, professional and technical personnel required to carry out its responsibilities. The Excepted Appointing Authorities provide OERI needed flexibility in the recruitment, hiring, retention, and promotion of highly qualified, exceptionally talented researchers, scholars, scientists, statisticians, practitioners and other professionals, and in the renewal of knowledge and perspective in OERI.

2. AUTHORITY

The Excepted Appointing Authorities, cited below, have been delegated to the Assistant Secretary for OERI.

- Section 405(e)(5) of the General Education Provisions Act (GEPA), as amended, P.L. 92-318, 20 U.S. Code 1221e(e)(5) authorizes two types of appointments for professional or technical employees: term appointments not to exceed three years and indefinite appointments. For both types of appointments, the Excepted Appointing Authority of Section 405(e)(5) of GEPA may be used only to make appointments to positions whose functions solely involve carrying out the programs or responsibilities authorized under Section 405 of GEPA or under another statute that vested authority in the National Institute of Education. The number of indefinite appointments may not exceed one-fifth of the full time regular employees whose function solely involves carrying out the programs or responsibilities authorized under Section 405 GEPA or under another statute that vested authority in the National Institute of Education. These two types of appointments are not subject to the provisions of Title 5 of the U.S. Code governing appointments in the competitive service or to the provisions of

Chapter 51 and Subchapter III of Chapter 53 of such Title relating to classification and General Schedule pay rates.

Section 401(c) of the Department of Education Organization Act authorizes the appointment, without regard to the provisions of title 5, United States Code, governing appointment in the competitive service, of up to 175 scientific, technical, or professional employees of the Office created by section 209 of the Act and compensation of employees so appointed without regard to the provisions of chapter 51 and subchapter III of chapter 53 of such title relating to classification and General Schedule pay rates. The rate of basic compensation for such employees shall not be equal to or in excess of the minimum rate of pay currently paid for GS-16 of the General Schedule under section 5332 of such title.

3. USE OF THE EXCEPTED APPOINTING AUTHORITY

Appointments to excepted positions are made on the basis of individual merit and without regard to race, color, religion, sex, age, national origin, handicapping condition, political affiliation or marital status.

Individual merit is determined by an assessment of an individual's prior experience, professional accomplishments, and the quality of his/her intellect, knowledge and ideas in relation to the needs of OERI to carry out its responsibilities.

The Excepted Appointing Authorities are among several personnel authorities utilized by OERI in meeting its staffing requirements. They will be used to meet OERI requirements for specialized skills, abilities and talents based upon scientific, professional and technical education, training, and/or experience.

Actions taken under this policy will be in accordance with applicable provisions of 5 CFR, Chapter I, Subchapter B, Part 302, Employment in the Excepted Service.

4. RECRUITMENT PRINCIPLES

Adherence to the principles of peer review (e.g., participation of professional equals; judgements based on individual merit and stature in the field; objectivity and fairness;) characterizes the recruitment and selection strategies utilized by OERI under the Excepted Appointing Authorities. OERI intends to recruit and employ highly qualified individuals who will serve with distinction. To this end, the recruitment and selection processes often include an extensive national search and other means of identifying qualified persons and assessing their professional merit in relation to the requirements of OERI. In identifying promising individuals and assessing their merit, the advice and counsel of knowledgeable persons both inside and out of government may be sought.

5. COMPENSATION PRINCIPLES

OERI conducts periodic surveys of comparable research, development, academic, and practitioner institutions to (1) assure that initial salaries offered by OERI are sufficiently competitive to attract the best available professional and technical talent and expertise, and do not exceed reasonable benchmarks based on the accumulated experiences of such institutions, and (2) inform the development of appropriate criteria and structures for salary adjustment decisions. In all cases, salary and salary adjustments are consistent with the provisions of the statute under which the appointment is made.

Initial salaries for excepted appointees are set after consideration of the applicant's current salary, other earned income, salaries offered to individuals with equivalent qualifications in like institutions, and other factors bearing upon the applicant which could include (1) the possession of special qualifications which uniquely equip an individual to meet a specific OERI need and (2) demonstrated exceptional levels of professional and academic achievement and/or leadership.

Adjustments in salary, after appointment, may be made periodically on the basis of performance, but no more than annually and in accordance with guidelines approved by the Assistant Secretary. Such salary adjustments may be based on factors such as performance appraisal, increased responsibilities, other factors pertinent to the value to OERI of the appointee's assignments, and budget considerations and policies. In addition, other adjustments in salary may be based upon consideration of appropriate cost of living or other salary related indices.

6. RESPONSIBILITIES

The Under Secretary is responsible for the review and approval of all appointments made under the Excepted Appointing Authorities.

The Assistant Secretary for Educational Research and Improvement has been delegated responsibility for directing OERI's use of both the Excepted Appointing Authorities and the corps of excepted appointees. The Assistant Secretary is responsible for establishing criteria for OERI's use in (1) identifying candidates for excepted appointments and (2) making decisions related to personnel actions and levels of compensation under the Excepted Appointing Authorities. The Assistant Secretary also (1) selects individuals for appointments under the Excepted Appointing Authorities; (2) approves salary levels, promotions, reassignments, extensions, and terminations that are effected under the Excepted authorities; (3) assures that full-time equivalency ceilings are not exceeded by a proposed action; (4) assures that selection processes are consistent with the principles of peer review; (5) assures that individuals hired under the Authorities possess the requisite professional, scientific, or technical expertise; (6) manages the administration of the candidate evaluation and selection process; and (7) assures that Personnel Resources Management Service is informed of policies and procedures bearing on the Excepted Appointing Authorities.

Heads of Offices reporting to the Assistant Secretary are responsible for:

a. advising the Assistant Secretary of needs for expert staff, and participating in recruitment processes;

b. assisting the Assistant Secretary in determining that individuals hired under the Authorities possess appropriate experience and necessary scientific, professional or technical expertise; and

c. recommending appointments, promotions, reassignments, and terminations, and preparing evaluation statements related to these actions.

Personnel Resources Management Service is responsible for:

a. maintaining complete and current records related to Excepted appointments;

b. providing assistance and advice to the Assistant Secretary concerning compliance with applicable laws, regulations, and practices regarding recruitment, interviewing, selection, promotion and reassignment; and;

c. providing support services for the processing of Excepted Service actions.

7. OVERSIGHT AND MANAGEMENT

The Board of Overseers for the Excepted Appointing Authorities is designated by the Assistant Secretary of OERI to (1) provide advice on policies and procedures bearing on the Excepted Appointing Authorities, and (2) conduct periodic audits of OERI's use of the Excepted Appointing Authorities.

The Board of Overseers is responsible to the Assistant Secretary who designates its Chairperson. The Board's members are chosen from among senior officials within OERI, across the Department, and from among other agencies and organizations with similar personnel authorities (e.g., National Science Foundation). On occasion, the Board of Overseers invites the advice and counsel of distinguished scholars or researchers. Terms of membership are at the discretion of the Assistant Secretary.

The Deputy Assistant Secretary for Operations is responsible for the day to day management of the Excepted Appointing Authorities and for the development of plans, objectives, criteria, policies and procedures pertaining to the Authorities, including: (1) OERI requirements for specific expertise, skills, and knowledge based on current and planned work; (2) recruitment, selection, and appointment; (3) assignment and reassignment; (4) performance appraisal and incentives; (5) disciplinary actions; and (6) renewals, extensions, and terminations.

8. TYPES OF APPOINTMENTS

Appointments under the Authorities allow excepted personnel to have professional experiences that are equivalent to those of their scientific, professional, and technical peers outside of government. It is intended that, upon completion of their appointment, individuals hired under the Excepted Appointing Authorities will be able to transfer their OERI experiences and skills to the non federal sector of education.

A multi-tiered system, described below, exists to permit recognition of individual achievement and merit. This system is designed to accommodate individuals with a broad range of experiences and expertise. The qualification standards cited below will be the primary means of determining the eligibility of a candidate for an excepted appointment. However, other factors may be included as appropriate. Requests for exceptions to these requirements must be documented and approved by the Assistant Secretary.

OERI ASSOCIATE: Requirement of an advanced degree or equivalent experience in an appropriate field and three years of experience pertinent to the needs of OERI. This category of appointment covers, for example, associate professors, school superintendents, building level administrators, journalists, researchers and professional and technical personnel who have made contributions to their fields and have attained recognition in their communities.

OERI SENIOR ASSOCIATE: Requirement of a doctoral degree or equivalent experience in an appropriate field, three years of experience pertinent to the needs of OERI, and sustained demonstration of a high level of achievement in an area of specialization. Scientific, professional and technical personnel with this type of appointment have achieved wide recognition, are usually at the frontier of their area of expertise and/or, have substantial practical experience directly related to OERI interests and requirements.

OERI SENIOR RESEARCH ASSOCIATE: Requirement of a doctoral degree or equivalent research experience in an appropriate area, three years of successful experience pertinent to the needs of OERI, and sustained demonstration of expert knowledge and skill in designing, planning, conducting or evaluating education, social science or other types of research pertinent to OERI requirements. Scientific, professional and technical personnel with this type of appointment have achieved wide recognition, are usually at the frontiers of areas of research directly related to OERI interests and requirements.

OERI EXECUTIVE: Requirement of a doctoral degree or equivalent experience pertinent to the needs of OERI and sustained demonstration of expert knowledge and skill in managing, directing, or supervising programs of research, statistics, practice, and dissemination in education or other areas pertinent to OERI requirements. Scientific, professional and technical personnel with this type of appointment have achieved wide recognition in their area(s) of expertise and substantial practical experience at senior levels.

9. LENGTH OF TERM

The term of an appointment to the Excepted Service is determined by the needs of the Office of Educational Research and Improvement, within the following guidelines. OERI programs have three types of requirements:

(1) One Year or Less--OERI activities require scientific, professional or technical personnel for purposes of acquiring current, well informed advice and assistance in areas of interest and concern to the goals and responsibilities of OERI. Appointments meeting this type of requirement are generally limited to a one year term.

(2) Three Years or Less--OERI activities require professional, scientific, or technical personnel for purposes of carrying out a set of activities with a well defined completion date. Terms generally are limited to the original appointment period which may be from one to three years. Under special circumstances, terms may be extended for up to an additional three years. Decisions concerning such extensions are based upon the needs of OERI, the skills, talents, or expertise of the appointee, the appointee's performance record, the advantage to OERI of extending the appointee's term rather than initiating a recruitment action, and guidelines approved by the Assistant Secretary.

(3) Indefinite--In rare circumstances, when the OERI has a continuing need for a particular expertise and when there is an excepted appointee who has clearly demonstrated this kind of expertise in an exemplary fashion, the Assistant Secretary may make an indefinite appointment. To be eligible for consideration for an indefinite appointment, an excepted appointee is required to have at least six years of service in OERI that are characterized by sustained excellent performance and outstanding contributions to the accomplishment of OERI's mission. The candidate's performance and the needs of OERI are major determining factors in decisions concerning the granting of indefinite appointments.

10. Termination of Appointment

Employment under the Excepted Appointing Authorities may be terminated at any time during the period of appointment by the Assistant Secretary for legitimate management reasons, consistent with applicable law. Unless otherwise required by applicable law, an employee whose period of appointment is so terminated shall receive written notification at least 30 calendar days in advance of the date of termination.

Effective date: 2/23/86

OPERATING PROCEDURES FOR IMPLEMENTATION OF OERI'S POLICY DIRECTIVE ON THE EXCEPTED APPOINTING AUTHORITY FOR NON-BARGAINING UNIT EMPLOYEES

I. APPROVALS BY THE UNDER SECRETARY

As stated in the OERI Policy for Use of Excepted Appointing Authorities (hereafter referred to as "OERI's policy statement"), "The Under Secretary is responsible for the review and approval of all appointments made under the Excepted Appointing Authorities." Given severe ceiling restraints within ED, the Under Secretary must also approve all actions for hiring staff from outside the Department. Therefore, unless otherwise authorized, the Under Secretary must approve any request from OERI to hire new staff prior to beginning the actual recruitment process or proposing to hire a designated candidate. A suggested format for forwarding such requests is attached (Tab A).

In preparing the action memorandum, the following information should be included:

- o A description of responsibilities the appointee is to fulfill.
- o A listing of the special skills, knowledge areas, and/or abilities needed to meet such responsibilities.

After the Under Secretary's approval, if a candidate was already proposed in the memo forwarded to the Under Secretary, the selection package as described in section IV should be prepared; otherwise, recruiting and selection should proceed.

II. RECRUITMENT AND SELECTION

Among the methods for identifying well-qualified candidates for the excepted service are:

- o Review and use of OERI's applicant file, in which applications received from qualified individuals seeking employment in scientific, technical, or professional positions will be retained for at least one year from the date of submission.
- o Announcement of requirement(s) to targeted groups/ organizations.
- o Nationwide announcement of requirement(s).
- o Open announcement of intent to fill vacancies in selected areas during specified time period.

- o Placement of announcement in selected professional journals.
- o Telephone-based recruitment search.
- o Direct identification of a candidate.

Any one or a combination of recruitment methods may be used in recruiting candidates for the excepted service.

In cases where a vacancy announcement will be issued, the respective Program Director or other OERI official (e.g., Assistant Secretary or Deputy Assistant Secretary) should submit an SF-52 and draft posting to the Deputy Assistant Secretary for Operations for review and forwarding to the Assistant Secretary for approval (if necessary) and then to Personnel Resource Management Service (PRMS) for action. When the recruitment includes the submission of applications by potential candidates, the Deputy Assistant Secretary for Operations will coordinate the process for screening applications using the description of requirements described in section I in order to identify those applicants who meet program requirements. Those applications which meet the requirements will then be reviewed by the Assistant Secretary or his designee.

In all instances, the Program Director or designee will interview (either by telephone or in person) highly-qualified candidates. References will be checked. Written documentation of all interviews and reference checks must be submitted to the Deputy Assistant Secretary for Operations as part of the selection package. The Assistant Secretary will interview recommended candidates and make the final selection.

When a proposed selection has been made, the Program Director will prepare a memorandum which includes answers to the following questions:

- o What will the person be doing?
- o What special qualifications does the individual have?
- o What procedures were used to identify this individual? Why were other candidates not appropriate to the position? What other candidates were considered?
- o What were the results of reference checks or interviews? Who made such reference checks, and who was asked?
- o What is the length of term proposed for the individual?

This memo should then be submitted to the Deputy Assistant Secretary for Operations. Following approval by the Assistant Secretary and Under Secretary, the selected candidate will be advised of the decision by the Assistant Secretary or designee and that a formal written offer of employment will be forthcoming from PRMS.

III. DETERMINATION OF INITIAL SALARY

The basis for the Assistant Secretary's determination of an initial salary will be consistent with section 5 of OERI's policy statement. Documentation of that determination will be maintained during the employee's term of service by the Office of the Deputy Assistant Secretary for Operations and a copy forwarded to PRMS with the selection package for its records.

In addition to the special qualifications and criteria discussed in section I above, various other factors may be considered by the Assistant Secretary in arriving at an equitable initial salary. Among such considerations are the applicant's salary history, present salary and other earned income, already-scheduled salary increases, bona fide competing job offers, and current fringe benefits that have no analog in the Federal service.

IV. OERI PROCESSING

After selection by the Assistant Secretary and approval by the Under Secretary, the following documents and information must be submitted to the Deputy Assistant Secretary for Operations for forwarding to PRMS:

- o An SF-52 (Request for Personnel Action).
- o The position description, including all data and approvals described in sections I and II (samples of position descriptions are available from the Office of the Deputy Assistant Secretary for Operations).
- o A completed SF-171 (Personal Qualifications Statement) signed and dated by the applicant.
- o Indication of the basis for determination of initial salary (described in section III above).
- o Information on interviews and reference checks.

Upon receipt of the required documentation, PRMS will take the following actions:

- o Contact the applicant selected for the position, formally offer him/her the job, and arrange an entry-on-duty date.
- o Notify the supervisor of the appointee's entry-on-duty date.
- o Generate official personnel action (SF-50).
- o Swear in the appointee and provide initial orientation.
- o Establish and maintain an official personnel folder for the appointee.

V. SALARY ADJUSTMENTS AND AWARDS

Staff in the excepted service will not routinely receive annual salary increases during the period of their appointment. In those cases where a renewal of an employee's term is approved, a salary adjustment may be made at that time. Excepted service employees will receive cost-of-living increases comparable with those provided for other Government employees. In addition, staff whose performance is deemed exceptional are eligible to receive awards consistent with OERI and ED policy. Other salary increases may be made based on the Board of Overseers' recommendations for policies governing compensation and performance standards that are approved by the Assistant Secretary.

In order to process a salary adjustment, an SF-52 with the justification for the increase must be forwarded by the Program Director, through the Deputy Assistant Secretary for Operations, to the Assistant Secretary for approval before the package is submitted to PRMS for action.

VI. TERMINATION OF APPOINTMENT

As stated in section 10 of OERI's policy statement, an employee must receive written notice at least 30 calendar days before the employee is to be separated from the excepted service.

N.B.: Effective immediately, sections V and VI of these instructions will apply to all non-bargaining unit staff in the excepted service.

TAB A

PURPOSE: ACTION

REVIEW NEEDED BY
DAY :
DATE:
TIME:

DATE:

TO : The Under Secretary
Through: ES _____

FROM: Chester E. Finn, Jr.
Assistant Secretary and
Counselor to the Secretary

RE : [Topic of Memorandum]

ISSUE

[Include a succinct statement of the staffing request; one sentence or a short paragraph is sufficient. If there is more than one request, number them.]

ACTION FORCING EVENT (OPTIONAL)

[If the request is time-sensitive, give a brief explanation of the urgency.]

BACKGROUND

[Give a succinct description, including key factors necessary for a decision.]

OPTIONS AND ANALYSES

[Provide an overview of realistic alternatives and the programmatic, budgetary, legal, and/or administrative considerations involved. For each issue requiring a decision, available options should be listed separately and briefly analyzed.]

Issue #1:

Option A: [Statement of an option for consideration.]

Discussion/Assessment: [Include a concise statement of the advantages and disadvantages for choosing the option. You may wish to "bullet" this section, listing your pros and cons separately.]

Option B: [Repeat format described under Option A for all other options.]

RECOMMENDATION

[State which option is preferable and why.]

DECISION

[For the Under Secretary to indicate the decision on each issue.]

Approve Option ____ _____ _____
Signature Date

Other/Comments: _____

_____

_____

PREPARED BY: [Office:First initial and last name:
Date:Phone #:Typist name]

CONTACT: [Office:First initial and last name:Phone #]

CURRENT EXCEPTED EMPLOYEES* 2/27/86

NAME	PROGRAM/ DIVISION	POSITION	EOD	NTE
Adelman, Clifford	OR/HEAL	Sr. Assoc.	09/10/80	01/07/87
Bencivenga, James	IS	Sr. Assoc.	11/10/85	11/09/88
Binkley, Marilyn	PIP/RA	Sr. Assoc.	02/01/85	02/10/88
Bradshaw, James	IS/PID	Associate	05/24/82	04/30/87
Butler, Patricia	OR/LI	Sr. Assoc.	01/19/81	01/17/87
Cain, John	AS/NCER	Sr. Assoc.	10/31/82	05/27/86
Capua, James	PIP/SDF	Sr. Assoc.	11/04/85	11/04/88
Carroll, Thomas	OR/HEAL	Res. Mgr.	05/07/79	Career**
Chiogioji, Eleanor	OR/LI	Associate	01/06/85	10/31/88
Clements, Stephen	AS/IO	Assistant	06/17/85	06/16/86
Conrad, Judi	IS/NEL	Sr. Assoc.	12/02/80	05/31/87
Cross, Mary	IS/PID	Sr. Assoc.	06/16/80	06/15/86
Cuthbert, Alexander	OR/SSP	Associate	08/29/84	08/28/87
Demaline, Randy	OR/IO	Associate	12/14/84	12/13/87
Dominic, Joseph	PIP/EN	Sr. Assoc.	10/02/78	06/01/87
Fischer, Donald	AS/DASOP	Sr. Assoc.	05/13/73	05/31/87
Fonte, John	OR/ES	Sr. Assoc.	01/15/84	01/14/87
Garcia, Sandra	CS/PESD	Sr. Assoc.	04/09/84	04/08/87
Garcia-Quintana, Roan	CS/EOD	Sr. Assoc.	09/05/82	09/30/88
Garnette, Cheryl	IS/SS	Associate	04/24/84	04/23/87
Gerber, Peter	PIP/IO	Res. Mgr.	07/01/73	05/31/86
Gold, Norman	OR/HEAL	Sr. Assoc.	12/23/73	Career
Goldberg, Herman (IPA)	OR/IO	Sr. Assoc.	02/17/85	Career
Horn, James	AS	Sr. Assoc.	09/16/84	Career
Horn, Sharon	AS/DASPP	Res. Mgr.	09/20/82	09/30/88
Huddle, Eugene	IS/IO	Associate	06/03/84	06/03/87
Jung, Richard	OR/IO	Associate	12/17/84	12/16/87
Katzenmeyer, Conrad	OR/LI	Sr. Assoc.	11/05/84	11/04/87
Kennedy, Mary	OR/IO	Sr. Assoc.	04/01/84	08/04/87
Lord, Richard	OR/SSP	Sr. Assoc.	04/15/84	06/14/86
MacColl, Gail	OR/SSP	Sr. Assoc.	09/25/77	09/24/87
Mack, David	PIP/EN	Sr. Assoc.	07/07/74	05/31/87
Mathews, Anne	LIB/IO	Advisor	01/12/86	01/12/89
Monihan, Margaret	PIP/AL	Sr. Assoc.	05/26/85	Career
Nelson-Smith, Charles	PIP/SPU	Sr. Assoc.	01/19/86	02/19/87
Orland, Martin	OR/IO	Associate	12/19/84	12/18/87
Prom-Jackson, Sukai	OR/LI	Associate	08/13/84	08/12/87
Ralph, John	OR/ES	Associate	01/08/86	01/09/89
Rendon, Laura	OR/HEAL	Associate	10/22/84	10/21/87
Richardson, Barbara	CS/CED	Sr. Assoc.	01/28/80	06/01/87
Rudner, Lawrence	OR/LI	Sr. Assoc.	11/05/79	Career
Sashkin, Marshall	PIP/EN	Sr. Assoc.	07/16/84	07/15/87
Schultz, Thomas	PIP/EN	Sr. Assoc.	09/05/73	05/31/87
Shafto, Sylvia	OR/LI	Associate	09/04/84	09/03/87
Simmons, Enid (Herndon)	PIP/RA	Sr. Assoc.	07/28/80	05/31/87
Sobol, Frank	AS/DASPP	Sr. Assoc.	09/16/73	08/14/87
Sweet, Anne	OR/LI	Res. Mgr.	10/14/84	10/23/87
Taylor, John	OR/LI	Associate	01/12/81	01/10/87
To, Duc-Le	OR/HEAL	Associate	09/10/84	09/09/87
Tomlinson, Tommy	PIP/IO	Sr. Assoc.	10/14/73	Career
Traiman, Susan	PIP/IO	Associate	09/22/81	09/30/87
Uribe, Oscar	OR/SSP	Associate	12/10/83	12/10/86
VanderPutten, Elizabeth	AS/DASO	Sr. Assoc.	11/27/79	06/01/87
Whiteman, Philip	IS/PID	Sr. Assoc.	03/22/83	09/20/87
Wirt, John	OR/HEAL	Sr. Assoc.	08/01/77	05/04/87
Wurtz, Emily	PIP/IO	Sr. Assoc.	01/17/85	01/16/88

*All appointments were made under authority of GEPA 405(e) or Section 401(c) of the Department of Education Organization Act (DEOA).

**All appointments designated as career are appointments with indefinite terms as provided under Section 405(e) GEPA.

OERI EXCEPTED APPOINTEES IN SUPERVISORY POSITIONS
(By Major Program Unit and number and grade of employees supervised)

INFORMATION SERVICES

James Bencivenga, Director

Responsible for direct supervision of eleven employees:

(3) GM-15
(1) GM-14
(1) GS-11
(1) GS- 9
(1) GS- 7
(2) GS- 6
(2) Excepted Appointees

Eugene Huddle, Staff Director
Outreach Team

Responsible for direct supervision of five employees:

(1) GS-15
(1) GS-14
(1) GS-13
(1) GS-12
(1) GS- 7

Cheryl Garnette, Chief
Information Systems and Media Branch

Responsible for direct supervision of eight employees:

(1) GS-14
(2) GS-13
(1) GS- 9
(1) GS- 7
(1) GS- 4

PROGRAMS FOR THE IMPROVEMENT OF PRACTICE

David Mack, (Acting) Director
Educational Networks Division
Responsible for direct supervision of seventeen employees:

(1) GM-15
(6) GS-14
(2) GS-13
(1) GS-12
(1) GS- 6
(2) GS- 5
(4) Excepted Appointees

James Capua, Director
Secretary's Discretionary Fund

Responsible for direct supervision of five employees:

(2) GM-14
(1) GS-12
(1) GS- 9
(1) GS- 5

OFFICE OF RESEARCH

Mary Kennedy, Director
Chapter 1 Study

Responsible for direct supervision of eight employees:

(2) GS-14
(1) GS-13
(1) GS-11
(1) GS- 6
(3) Excepted Appointees

John Taylor, Director (Acting)
Learning and Instruction Division

Responsible for direct supervision of 17 employees:

(1) GM-15
(3) GS-13
(1) GS- 9
(2) GS- 7
(1) GS- 6
(1) GS- 5
(1) GS- 4
(7) Excepted Appointees

Gail MacColl, Director (Acting)
Schools and School Professionals Division

Responsible for direct supervision of ten employees:

(2) GM-15
(1) GM-14
(1) GS-13
(1) GS-11

(1) GS- 6
(1) GS- 5
(3) Excepted Appointees

Thomas Carroll, Director (Acting)
Higher Education and Adult Learning Division

Responsible for direct supervision of twelve employees:

(3) GS-14
(2) GS- 7
(1) GS- 6
(1) GS- 4
(5) Excepted Appointees

LIBRARY PROGRAMS

Anne Mathews, Director

Responsible for direct supervision of eight employees:

(1) GM-15
(2) GM-14
(1) GS-12
(1) GS-11
(1) GS- 8
(1) GS- 6
(1) Senior Executive

Question 2. What is your position regarding the amount of funds that should go to labs and centers as opposed to individual researchers?

Answer. In the fiscal year 1986 and fiscal year 1987 budgets, the Administration included in its request funds to meet commitments for labs and centers and additional funds for new work by individual researchers. The Department believes there should be a balanced portfolio of research activities that includes support for institutions as well as support for individual researchers. The budget reflects this goal.

Question 3. Do you plan on having a new competition for the center which you did not fund?

Answer. We do not have sufficient fiscal year 1986 funds after the Gramm-Rudman-Hollings sequestration for another full fledged research center. For additional information, see the response to question 4. However, we do have the financial resources for a substantial multi-year interdisciplinary study of the influences found within the school setting on the quality of teaching. We plan to complete this project this year. For fiscal year 1987, we are considering a variety of options for supporting activities relating to teacher quality and effectiveness.

Question 4. The House report accompanying the appropriations bill for NIE specifies a minimum amount of funds that must be used for labs and centers. How do you plan on complying with these congressional mandates in light of your apparent decision to withhold approximately $2 million in reserve for the centers?

Answer. Last year, OERI conducted competitions to establish nine regional laboratories and eleven research centers under Section 405(f) GEPA. We earmarked $740 thousand more than was identified in the House Appropriations report for these laboratories and centers and the existing section 405(f) technology center. It was the Department's clear intention to fulfill the spirit of this report language.

The competitions were successful, but they did not yield all the expected results. This agency was constrained by the scope and quality of the proposals that were made by the applicants. Rigorous peer review guided our actions throughout. In the end, there were not enough qualified applicants and quality projects to warrant awarding the full $30 million that had been identified for 405(f) labs and centers.

In the case of the laboratories, OERI negotiated contracts. The laboratories agreed to perform certain tasks and provide certain products in return for specific sums. When the negotiations were completed, $272 thousand remained from the $17 million that we had planned to devote to laboratories. This is a close fit.

In the case of the centers, competitions became problematic. For the Teacher Quality and Effectiveness Center, both peer review panels determined that there was no suitable candidate. For the Teacher Education Center, the decisions of the two panels were split on whether there was an acceptable applicant. The Department certainly did not anticipate this result, but once faced with it could not responsibly obligate the full amount identified in the House report. The Department believed that Congress would not want tax dollars spent on projects judged inadequate by credible peer reviewers. Consequently, the Teacher Quality and Effectiveness Center was not funded. The Department did fund that portion of the Teacher Education Center that held real promise. The Department immediately and publicly announced its intention of dedicating these "reserved" resources to research into teaching and teacher quality issues.

In December 1985, the Department convened a panel of eminent educational researchers to give the Department their views on what research should be done for teachers and teaching with these funds. In January 1986, OERI visited with both public and private school teachers from the DC area to discuss this same subject. In light of these meetings the Department has decided that a major interdisciplinary study should be funded to explore the effects of influences found within the school setting upon the quality of teachers and teaching.

The original funding proposals for the teacher education and teacher quality centers amounted to a maximum up to $2 million. This reflected the extraordinary national interest in these issues and the intense interest of Congress. Since the Teacher Education Center is now funded at only one fourth of this total, we feel that it is important to devote whatever remains of the 405(f) funds after the sequester required by Gramm-Rudman-Hollings to the issues that were to be the missions of these two centers.

Question 5. OERI has been responsible for some outstanding activities involving telecommunications over the years. It was the Office of Education Research funds that gave the initial start to "Sesame Street," and I understand that OERI is now helping to fund—along with the National Science Foundation—educational TV series in science and mathematics which are broadcast nationwide. I believe that many millions of youngsters watch these lessons in school and at home.

Also, NIE and the Fund for the Improvement of Postsecondary Education (FIPSE) have supported innovative telecommunications projects over the years, such as developing TV college courses to extend higher education to persons in rural areas and the like.

What are your plans for continuing development of these technologies that would appear to offer a lot of help to schools and colleges?

Answer. Since 1967, the Department (and its predecessor, the Office of Education) has been a leader in developing children's television. The Department set the standards for copyright and off air recording rights that allow any education agency to record and use the programs. The Department also established the standards for closed captioning of such programs for the hearing impaired.

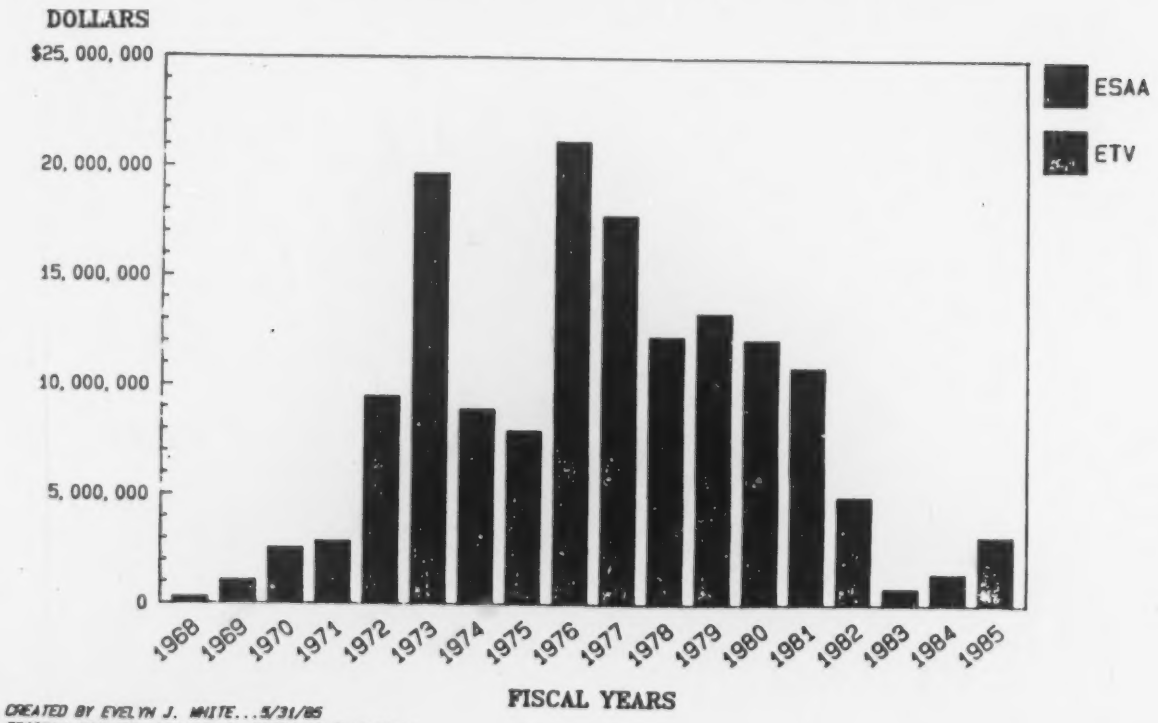
The Department no longer has separate legislation authorizing television or technology activities. The authority for these activities was consolidated into Chapter 2 of the Education Consolidation and Improvement Act of 1981 (ECIA). The Secretary has chosen to continue to expend funds in this area through either Chapter 2 of ECIA or Title II of the Education for Economic Security Act. Budgetary limitations on the Secretary's Discretionary Funds and demands upon the Secretary's priorities have changed the Department's participation in television production since 1981. (See attached chart)

At this time, the Department continues to fund three television series: (1) The Voyage of the Mimi, produced by Bank Street College of New York City, (2) 3-2-1 CONTACT, produced by The Children's Television Workshop, and (3) a new series on elementary mathematics series is the fifty-third series funded by the Department. Most of these programs are still being used in schools and broadcast locally or through cable television.

The Department of Education is expending $1,000,000 each on these programs each year. This year completes our agreement on 3-2-1 CONTACT and is the second year of a three year grant for both The Voyage of the Mimi and the mathematics series. These programs are funded through the Education for Economic Security Act, and are administered by OERI, but are not part of the OERI appropriation for research and statistics authorized under Sections 405 and 406 of GEPA.

At this time, the Department anticipates completing its commitment to the CTW Mathematics series and The Voyage of the Mimi, which entails $1,000,000 each in fiscal year 1987.

ETV & ESAA TV/RADIO PROGRAMMING
(MONIES SPENT BY FISCAL YEAR)



CREATED BY EVELYN J. WHITE...5/31/85
PROGRAM ANALYST, OTRAO/U.S. DEPT. OF EDUCATION
1200 19TH ST., NW./RM. 7116, WASHINGTON, D.C. 20036

Question 6. How has the reorganization affected the American Federation of Government Employees? What action has the Department taken to coordinate personnel changes with the Union? What problems remain to be solved?

Answer. Article 10 of the Collective Bargaining Agreement between the U.S. Department of Education and AFGE (Reorganization and Implementation Procedures) requires consultation between management and Union officials. Ever since the Secretary announced the reorganization of OERI in July, every effort has been made to keep the Union informed, in both formal and informal ways, on a variety of issues, e.g. space and staffing. For example, the Union was given an advance copy of the staffing plan a week before it was submitted for Department approval to identify any possible problems. As personnel changes have been made—many based on employee requests—we have provided updated staffing lists to the Union representatives. In addition, the Deputy Assistant Secretary for Operations continues to meet weekly with Union representatives to carefully consider any recommendations proposed and to answer questions.

Position descriptions for all OERI employees have been submitted to the Personnel Office for formal action. We have worked very closely with the Personnel Office during the past few months to ensure that issues were resolved before they became problems. To date, we have no indication that any individual in OERI will be adversely affected by the reorganization.

Question 7. In your memo regarding OERI Excepted Hiring Authority, you state you tend to "recruit and employ highly qualified individuals." Which procedures are in place for implementing this practice? How many such procedures have been instituted since you took office? What policies exist to ensure that recruitment of such personnel is open, advertised, and competitive?

Answer. Policies and procedures for implementation of the Excepted Appointment Authority have been provided by two National Institute of Education (NIE) Directives (Attachments A and B): the first, dated June 22, 1976 sets forth policies, criteria, and procedures for establishing and making appointments to excepted positions and for compensating employees in those positions; the second, dated June 17, 1982 contained procedures for establishing and making appointments for excepted employees in management, policy setting, or supervisory positions and for compensating such employees. The June 1982 directive superseded the earlier Directive only with respect to non-bargaining unit employees. The June 1976 directive is still in effect for bargaining unit employees. In addition, Article 28 of the Department's Collective Bargaining Agreement applies to bargaining unit employees in the excepted service.

A new Excepted Appointment Policy and implementing procedures for non-bargaining unit staff, which supersedes the June 1982 directive, became effective on February 23, 1986 (See question #1). The new policy is consistent with the thinking of the Congress (as quoted in question #1) that civil service procedure could make it difficult to hire "top scholars" and that such "exceptionally talented individuals" are needed for OERI to successfully complete its mission. It reflects the view of "rank in the individual" rather than "rank in the position," that is, under the excepted appointing authority, applicants are selected and compensated on the basis of their education, training, experience and skills.

Under the new policy, there will be increased emphasis on adherence to principles of peer review. In its simplest form, this means obtaining advice about a decision from persons who have no direct stake in the outcome, but who possess relevant perspectives, expert knowledge, or pertinent experience. It is a desirable form of accountability that follows from the awareness that one's decisions must be justified to others.

Our policy permits us to employ a variety of open recruitment processes including announcing nationwide or to targeted audiences OERI's requirements for competencies, skills, or talents, and conducting broad-scale recruitment searches as has been done successfully before. We also will be reviewing the OERI applicant file in which we keep letters and resumes that individuals, many of whom are highly qualified, send to us. And, there are times when a candidate may be identified directly by a senior supervisor in OERI. In all cases OERI uses appropriate standards for selecting candidates and documents the selection process.

Attachments.

	of Issuance	Number
ATTACHMENT A	NIE DIRECTIVE	302.1.1
	of	Date JUN 2 2 1976
	EXCEPTED APPOINTING AUTHORITY	
WASHINGTON, D. C. 20208		Office of Primary Interest OAM/P
	Supersedes 302.1.1 September 18, 1974	Distribution B

1. PURPOSE
2. POLICY
3. AUTHORITY
4. RESPONSIBILITIES
5. USE OF EXCEPTED AUTHORITY
6. CATEGORIES OF POSITIONS
7. TYPES OF APPOINTMENTS
8. RECRUITMENT PRINCIPLES
9. SALARIES FOR EXCEPTED EMPLOYEES
10. ANNUAL SALARY REVIEW

1. PURPOSE

This guide sets forth the policies, criteria, and procedures for establishing and making appointments to excepted positions and for compensating such employees under the authority of Section 405(e)(3) of the General Education Provisions Act, as amended, P.L. 92-318, 20 U.S. Code 1221e(e)(3).

2. POLICY

It is the policy of the National Institute of Education that:

a. Appointments will be made without regard to the race, color, religion, sex, age, or national origin of the individual and shall be made in accord with the Institute's Affirmative Action Plan.

b. Appointments to excepted positions will be on the basis of individual competence and ability as related to the position to be filled to ensure that the Institute attracts and retains the professional and technical personnel required to carry out its responsibilities.

3. AUTHORITY

Section 405(e)(3) of the General Education Provisions Act, as amended, P.L. 92-318, 20 U.S. Code 1221e(e)(3) authorizes the Director to appoint, for terms not to exceed three years, without regard to the provisions of Title 5 of the United States Code governing appointments in the competitive service and to compensate without regard to the provisions of

Chapter 51 and Subchapter III of Chapter 53 of such title relating to classification and General Schedule pay rates, such technical or professional employees of the Institute as the Director deems necessary to accomplish its functions and also appoint and compensate without regard to such provisions not to exceed one-fifth of the number of full time, regular technical or professional employees of the Institute.

For purposes of this directive the term "excepted" means the situation where a position is both excepted from the provisions of Title 5 of the United States Code governing appointment in the competitive service and exempt from provisions of Chapter 51 and Subchapter III of Chapter 53 of Title 5 of the United States Code relating to classification and the General Schedule pay rates.

4. RESPONSIBILITIES

a. Associate Directors and Advisors to the Director are responsible for:

1. Preparation of position descriptions (including the recommendation for an appropriate NIE excepted category) and statements of justification for excepted appointments in their respective areas of responsibility.

2. In coordination with the Personnel Division, canvassing appropriate sources for candidates and assessing their qualifications for proposed excepted positions in accord with the section on recruitment procedures and the Institute's Affirmative Action Plan.

3. Providing staff to serve as panel members for the review and evaluation of applications for various NIE positions.

4. Complying with the Institute's annual salary review of excepted employees.

b. The Personnel Division is responsible for:

1. Establishing excepted positions including the designation of the appropriate NIE category and assuring compliance with appropriate CSC and DHEW rules and regulations governing employment in the excepted service.

2. Working with Associate Directors, Advisors and others to assure a broad and inclusive recruiting effort.

3. Determining eligibility and qualifications of applicants for proposed excepted positions, including, together with the Director of Equal Employment Opportunity, review to assure compliance with the procedures on recruitment and the Affirmative Action Plan.

4. Establishing the salary level of appointees to excepted positions.

5. Assisting supervisors in complying with the Institute's annual salary review of excepted employees.

6. Effecting appointments in the excepted service.

7. Maintaining records relating to excepted positions.

5. USE OF EXCEPTED AUTHORITY

a. Policy

The excepted authority to appoint technical and professional personnel necessary for carrying out NIE's responsibilities will be used only when one or more of the following circumstances and conditions apply:

(1) Appointments of personnel to top executive, managerial and supervisory positions responsible for managing, directing or supervising educational research, studies, or programs clearly requiring specialized abilities based upon research, scientific, or education training and/or experience.

(2) Appointment of personnel to positions which clearly require specialized abilities based upon research, scientific or education training and/or experience.

(3) Appointment of personnel to positions in program units which, if in the competitive Civil Service, would require a positive education requirement.

(4) Appointment of personnel to positions which are technically mission-oriented.

(5) Appointment of personnel to advisory-type positions which are directly under the supervision of the Director or Deputy Director and which involve functions and responsibilities directly involved in the mission of the Institute as they relate to: mission-oriented planning and programming; and to external organizations of a technical, professional, and legislative nature; or to Administration policy makers.

(6) Appointment of personnel as NIE Fellows.

he occupational series assigned to the position by the Personnel Officer or esignee will be the deciding factor in determining whether the position meets he criteria in 1, 2, 3 or 4 above. Examples (not all inclusive) of positions hich may be placed in the excepted service are listed in Attachment A of this irective.

b. Procedures

(1) The first step in the proper application of NIE's excepted authority is the preparation of an accurate and complete description of duties and responsibilities. If for a new position, a position description should be prepared by the supervisor with assistance of a member of the Personnel Division. The specialized knowledge and abilities required in the position or the basis for meeting

the requirement of the Directive must be identified in an attachment to the description.

(2) The responsible immediate supervisor will sign the certification on the proposed position description and submit it through the appropriate management levels to the Personnel Division for classification action. The Personnel Division will evaluate and classify the position. After this, recruitment action may be initiated.

(3) All positions within NIE which may be placed in the excepted service will be so identified by the Personnel Division placing the appropriate excepted service category on the position descriptions, Form OF-8.

(4) For an existing position already properly determined to be one which can be filled by the use of the excepted authority, recruitment processes can begin at any time a decision is made to fill the job and the Personnel Division has approved the SF-52.

6. CATEGORIES OF EXCEPTED POSITIONS

Excepted positions will be established in the following categories:

a. NIE Executive or NIE Advisor

This category includes positions concerned with the management and policy direction of Institute functions which are properly in the excepted service. Most of these positions, but not all, are equivalent to the GS-16 through GS-18 levels in the classified service.

b. NIE Senior Associate

This category includes senior positions properly in the excepted service equivalent to the GS-14/15 level in the classified service.

c. NIE Associate

This category includes positions properly in the excepted service equivalent to the GS 11/13 levels in the classified service.

d. NIE Assistant

In rare circumstances, the appointment of personnel to positions of responsibility, equivalent to the GS 7-9 level in the competitive service, may be permitted. These appointments are permitted only to perform functions which are directly involved in intramural research requiring a professional background. Such appointments must be justified in writing and approved by the Director. In addition, there may be circumstances where special research/program projects require the use of a limited number of lower level professional/technical staff for which use of the excepted authority is appropriate. Approval of the Director is required for these situations also.

7. TYPES OF APPOINTMENTS

The statute authorizes the Director to appoint an unrestricted number of technical and professional employees for terms not to exceed three years and up to 20% of the number of full time, regular technical or professional employees of the Institute on a career (permanent) basis.

a. Term Excepted (Not to Exceed Three Years)

Term excepted appointments are for over one year but not to exceed three years. Term appointments will be used in all cases of appointments which will last beyond one year except in the special circumstances described below for career excepted appointments. Term appointments are subject to renewal/extension. All renewals must be approved by the Director or Deputy Director. All extensions up to a maximum of three years must be approved by the Associate Director for Administration and Management.

b. Career Excepted

Career excepted appointments are permanent in nature. They will be made only in rare circumstances and only by the Director.

c. Temporary Excepted (Not to Exceed One Year)

Temporary excepted appointments will be used when the position is needed or expected to last for one year or less.

8. RECRUITMENT PRINCIPLES

Appointments to excepted positions will be in accord with DHEW Instruction 302-1, Excepted and Exempt Positions in DHEW. In addition:

a. No appointment may be made to an excepted position unless an extensive search has been made to ascertain the best qualified available talent for the position. (See Section 8c for exceptions to these procedures.)

(1) Excepted Service vacancies shall be made known within the Institute to offer staff the opportunity to be considered for the vacancy. Positions in the bargaining unit, for excepted employees, will be announced to internal and external candidates concurrently. A panel ranking candidates will consider the applications concurrently.

(2) Contacts should be made with a variety of sources to identify candidates for a vacancy, e.g., colleges, universities, research organizations, practitioner associations, professional groups and societies, etc.

(3) Special efforts must be made to identify potential women and minority candidates. To this end, contacts will be made with organizations, groups, associations, and individuals to solicit applications for vacancies. Possible sources for such contacts will be obtained from the EEO Staff.

(4) Applications on file with the Institute will be reviewed to ascertain available candidates for the position to be filled.

(5) A panel appointed by the Director, Deputy Director, or appropriate NIE Executive or Advisor, in consultation with the Personnel Officer, will review and assess the applicants to determine those Highly Qualified based upon factors and requirements determined necessary for the position. Those selected for the panel should possess the professional or managerial background required to assess candidates for the position to be filled. A member of the Personnel Division will serve as an advisor to the panel and a member of the EEO Staff will be an observer. A member appointed by the Union will be invited at the time the panel is named, to observe at panel meetings called to review applications for positions in the bargaining unit. Reference checks will be made and will become a part of the assessment record.

(6) A listing of all candidates will be referred to the selecting official with the Highly Qualified identified. The selecting official may examine the qualifications of all candidates and consider anyone referred.

(7) For positions in the bargaining unit, the list will clearly identify internal candidates and the selecting official will be instructed to interview Highly Qualified internal candidates before interviewing external candidates. Should any of the internal candidates satisfy the selecting official, that official need not interview candidates from the outside.

b. Each excepted appointment must be fully documented with respect to the above requirements on recruiting. The Personnel Division shall review all recommended excepted appointments as to the adequacy of the search and the appropriateness of the choice. In addition:

(1) At the NIE Associate level, the Personnel Division shall refer to the Deputy Director for review those proposed appointments where in the opinion of the Personnel Division the search is substantially inadequate or the proposed candidate is, taking all the circumstances into account, clearly less qualified than others identified by the search. The Deputy Director's concurrence or nonconcurrence shall be in writing.

(2) The Deputy Director will review all proposed appointments in the NIE Senior Associate category, and concur or nonconcur in writing.

(3) Each selection in the Executive/Advisor category will be made by the Director personally. When the individual does not report directly to the Director, the selection will be made in consultation with the appropriate Associate Director. The same recruitment procedures described above are followed for appointments in the

NIE Executive/Advisor category as well as such additional procedures prescribed by the Office of the Secretary applicable to major executive positions in the Department.

(4) In accordance with DHEW Instruction 305.1, "Filling GS-16/18 Equivalent Positions and Documentation and Processing of Personnel Actions", proposed appointments in the NIE Executive and NIE Advisor categories, will be forwarded to the Office of Personnel and Training, Office of the Secretary for prior review and approval.

c. Appointments to positions in the excepted service are excepted from the broad and inclusive search provisions of this section if:

(1) The appointment is for one year or less, and adequate recruiting efforts are made to assure equal employment opportunity and to obtain highly qualified temporary employees. At a minimum, these efforts must include a screening of all applications/resumes on file in NIE with adequate qualifications. Appointments made under this section cannot be extended beyond the initial one year appointment without following all of the provisions of Section 8 and comparing the temporary employee with candidates identified through those processes unless the approval of the Associate Director for Administration and Management is obtained.

(2) The appointment is for more than one year and is a position within a Group or Office in NIE that has achieved the annual objectives set out in its Affirmative Action Plan. For an appointment to be made under the provisions of this subsection, the Equal Employment Opportunity Officer must state in writing to the Deputy Director that the objectives of the unit's Affirmative Action Plan have been met, and a majority of a team appointe by the Deputy Director, on review of the candidate's qualificatior must certify in writing that the candidate possesses outstanding qualifications for the position.

(3) The appointment is for more than one year, and the candidate would contribute toward fulfillment of the annual objectives set out in the Affirmative Action Plan of the Group or Office. For an appoin ment to be made under this subsection, a majority of a team appoin by the Deputy Director, on review of the candidate's qualification must certify in writing that the candidate possesses outstanding qualifications for the position.

(4) The appointment is a renewal of a term appointment to the same position and the renewal is justified on the basis of a continuing need for the position and the qualifications and abilities of the incumbent. All renewals must be approved by the Director or Deputy Director.

9. SALARIES FOR EXCEPTED EMPLOYEES

a. Salaries for excepted employees shall be administratively determined ("AD") within the designated salary bands:

NIE Executive or NIE Adviser	$31,300-37,800
NIE Senior Associate	$26,900-37,800
NIE Associate	$16,300-29,800
NIE Assistant	$11,100-17,600

These salary bands will be adjusted in light of corresponding changes to the General Schedule pay rates.

b. Determining Initial Salary:

The initial salary of an individual appointed to an excepted position will be based upon the principle of "no-loss no-gain" to the individual, which includes consideration of:

(1) Applicant's present salary, other earned income sources, and other factors bearing on the individual's income such as: expected salary increases which have been verified in writing and would become effective within six months from the date of employment with the Institute, employer contributions to retirement funds to be borne by applicant during his/her stay at the Institute, and other fringe benefits which have no analogue in the Federal service;

(2) Possession of special qualifications which uniquely equip the individual to fill a particular position in the Institute;

(3) Degree of professional and academic attainment and leadership.

Only in very exceptional circumstances should the initial salary exceed by 10% the reasonable value of the above factors. The Institute will conduct surveys of comparable research and development, academic and practitioner institutions to assure that initial salaries are sufficiently competitive to attract the best available talent and do not exceed reasonable benchmarks based on the accumulated experience of such institutions.

10. ANNUAL SALARY REVIEW

In determining appropriate salary rates for excepted employees, and making subsequent changes in compensation for such individuals, the principle of maintaining an effective internal alignment will be followed.

a. Subsequent changes of individuals from one salary rate to another will be determined on the basis of demonstrated change in the level of contribution, significant increases in the scope of the assignment, or both.

b. An annual review on the employee's anniversary date will be made by the appropriate supervisor of all excepted employees to determine that each

employee warrants continued retention and that each employee is continuing to make personal contributions at the requisite level. This review will also seek to identify those positions and individuals where the nature and scope of the assignment or the level of contribution may have deteriorated, and recommend appropriate action.

(1) The annual review will be completed on the employee's anniversary date which is the date of appointment in the excepted service.

(2) Salary adjustments which may be recommended based on the reviews will be in increments of 3%, 6%, or 10%. A 3% increase is based on a recommendation from the immediate supervisor that performance is satisfactory and a 3% increase is deserved. An increase of 6% is considered to be comparable to a quality increase and is for performance or contributions substantially above normal expectations. An increase of 10% is for performance or contributions substantially above normal expectations as well as significant increases in the scope of the assignment. Recommendations for such increases will be made by immediate supervisors and approved by all intervening management levels within the program office. Pay increases for NIE Senior Associates, Executives and Advisors must be approved by the Deputy Director.

An SF-52 with the appropriate documentation must be forwarded to the Personnel Division for each pay adjustment action. For 3% increases a statement that the employee's performance is satisfactory and a 3% increase is recommended is required. For 6% increases, a written justification addressing performance and/or contributions is required. For 10% increases, a written justification addressing performance and/or contributions plus a specific statement addressing the increase in scope of the assignment is required.

(3) Normally only one increase per year will be made. However, the receipt of a 3% increase does not prohibit the granting of another increase prior to the completion of another one-year waiting period. In no case can the pay increases granted under the annual review process exceed a total of 10% during any one year period.

(4) Should an employee be denied an annual 3% salary increase, the supervisor will give the employee a sixty-day notice (prior to the employee's anniversary date) outlining the reasons for the denial and giving the employee the opportunity to bring performance up to performance standards within sixty days. If the employee is then denied an annual salary increase, the employee may file a grievance under the appropriate grievance procedure.

Ernest Russell
Associate Director for
Administration and Management

ATTACHMENT A

EXAMPLES OF POSITIONS WHICH MAY BE PLACED IN THE EXCEPTED SERVICE

Associate Director, Basic Skills

Associate Director, Office of Planning, Budget and Program Analysis

Associate Director, Dissemination & Resources

Associate Director, Education and Work

Associate Director, Educational Equity

Associate Director, Finance & Productivity

Associate Director, School Capacity for Problem Solving

Chief, Office of Government & External Relations

Science Advisor to the Director

Special Program Assistants to the Director or Deputy Director

Directors and Chiefs Heading Program Divisions, Staffs & Branches

Positions in program, and/or planning organizational components which are classified into the following job series using competitive service classification guidelines:

GS-101 - Social Science

GS-110 - Economist

GS-180 - Psychologist

GS-184 - Sociologist

GS-1530 - Statistician

GS-1720 - Education Research Specialist/Officer

ATTACHMENT B

'S MANAGEMENT SYSTEM
NCE NUMBER 82-D-3

DATE: 17 June 1982

The National Institute of Education

SUBJECT: Excepted Appointing Authority/Non-Bargaining Unit Employees

RESPONSIBLE OFFICE: NIE/OD
DISTRIBUTION: N

SUPERSEDES: For Non-Bargaining Unit Employees--NIE Directive 302.1.1 Excepted Appointing Authority dated September 18, 1974

I. Background

Section 405(e)(5) of the General Education Provisions Act, as amended, P.L. 92-318, 20 U.S. Code 1221e(e)(5) authorizes the Director to appoint for terms not to exceed three years, without regard to the provisions of Title 5 of the United States Code governing appointments in the competitive service, and to compensate without regard to the provisions of Chapter 51 and Subchapter III of Chapter 53 of such title relating to classification and General Schedule pay rates, such technical or professional employees of the Institute as the Director deems necessary to accomplish its functions and also appoint and compensate without regard to such provisions not to exceed one-fifth of the number of full-time, regular technical or professional employees of the Institute.

For purposes of this directive the term "excepted" means the situation where a position is both excepted from the provisions of Title 5 of the United States Code governing appointment in the competitive service and exempt from provisions of Chapter 51 and Subchapter III of Chapter 53 of Title 5 of the United States Code relating to classification and the General Schedule pay rates.

The impermanent nature of most of the excepted appointments reflects two considerations:

A. It is a means of staying in touch with the frontiers of private sector research.

The stimulation of new research suggests that a relatively rapid turnover is desirable. Outside researchers should be able to enter NIE to provide fresh ideas and direction. Individuals who have made contributions within NIE should return to the private sector to implement them.

B. NIE is designed to act only as an initiator of education research with permanent funding for worthy projects coming from other sources.

II. POLICY

It is the policy of the National Institute of Education that:

A. Appointments will be made on the principle of merit, without regard to the race, color, religion, sex, age, national origin, handicapping condition, political affiliation or marital status of the individual.

B. Appointments to excepted positions will be on the basis of individual competence and ability as related to the position to be filled to ensure that the Institute attracts the professional and technical personnel required to carry out its responsibilities.

III. PURPOSE

This guide sets forth the procedures for establishing and making appointments for excepted employees in management, policy setting, or supervisory positions and for compensating such employees under the authority of Section 405(e)(5) of the General Education Provisions Act, as amended, P.L. 92-318, 20 U.S. Code 1221(e)(5). All references in this directive to an "excepted position," "appointees," "excepted service," and "excepted employees," refer only to excepted positions or excepted employees in management, policy setting, or supervisory positions. (See Attachment)

Under the provisions of the statute, NIE has two excepted appointment authorities:

A. An authority to hire professional and technical personnel under not to exceed three year appointments, and

B. The authority to hire up to one-fifth of its regular career technical and professional personnel on an excepted basis.

The Director may make as many appointments as, at his discretion, seems appropriate to accomplish the mission of the Institute, within authorized limits of personnel ceilings and appropriations availability. The number of both term and regular, i.e., without time limitation, excepted employees who may be hired by NIE is subject to limits that may be prescribed by the Assistant Secretary for Educational Research and Improvement to comply with Section 401(c) of the Department of Education Organization Act.

IV. USE OF EXCEPTED AUTHORITY—POLICY

The excepted authority to appoint technical and professional personnel necessary for carrying out NIE's responsibilities will be used for, although not limited to, one or more of the following

A. Appointments of personnel to top executive, managerial and supervisory positions responsible for managing, directing or supervising educational research studies, or programs clearly requiring specialized abilities based upon research, scientific or education training, and/or experience.

B. Appointment of personnel to advisory, policy setting, or confidential positions which are directly under the supervision of the Director or Deputy Director and which involve functions and responsibilities directly involved in carrying out the mission of the Institute as they relate: to mission-oriented planning or programming; to external organizations of a technical, professional, or legislative nature; or to Administration policy makers.

V. RESPONSIBILITIES

A. NIE officials establishing an excepted position will:

1. Prepare an accurate and complete description of duties and responsibilities, including discussion of the specialized knowledge and abilities required in the position, or the other factors which determine that it is an appropriate excepted position.

2. Sign the certification on the proposed position description and submit it through the appropriate supervisory channels to the Director for approval.

B. The Headquarters Personnel Operations Division has responsibility for:

1. Rendering assistance, as requested by the NIE Director, in announcing and advertising the position;

2. Initial processing of newly appointed members of the excepted service, including the swearing in ceremony;

3. Maintaining complete and current personnel records.

VI. RECRUITMENT PRINCIPLES

A. It is the intention of the Director to bring to the Institute highly qualified individuals who will serve with distinction. The Director may employ various methods to assure the qualifications of appointees: e.g., conducting a recruitment search, or directly selecting an individual with expertise in a particular field of inquiry. Recommendations may be sought from colleges and universities, research and practitioner organizations, and other knowledgeable groups and individuals.

B. Reappointment to an excepted position can be made at the discretion of the Director:

1. If, in the Director's judgment, the duties of the position will be essential to the ongoing process of a particular program;

2. If the Director considers that continued service at the Institute by the employee is a major benefit to a particular program and would be substantially more beneficial to the mission of the Institute than recruitment of a new employee.

VII. SALARIES FOR EXCEPTED EMPLOYEES

A. Salaries for excepted employees shall be administratively determined by the Director, but not to exceed any ceiling set by Executive or Congressional action.

B. The salary of an individual appointed to an excepted position will be based upon a mix of the following factors:

1. Possession of special qualifications which uniquely equip the individual to fill a particular position in the Institute.

2. Degree of professional, technical, and academic attainment and leadership.

3. The demands of the position to which the applicant is assigned.

C. At the discretion of the Director, salary adjustments, such as cost-of-living raises or merit increases may be granted to employees in the excepted service.

D. The Director will send a letter to a successful applicant stating the salary offered, the appointing authority, and other terms and conditions of employment, such as time limitation, if any. Excepted employees serve at the Director's discretion, but at least 30 days notice will be given if termination will take place prior to the expected length of the appointment.

ATTACHMENT TO NIE DIRECTIVE 82-D-3

Determination of Managerial Status 1.

"In Navy Automatic Data Processing Selection Office, the FLRA set out the guidelines for determining who is a management official and therefore excluded from the bargaining unit. The Authority noted that 5 U.S.C. 7103(a)(11) defines a management official as 'an individual employed by an agency in a position the duties and responsibilities of which require or authorize the individual to formulate, determine, or influence the policies of the agency'. An examination of the legislative history of this provision by the Authority led to the conclusion that the Conference Committee had implicitly rejected the language of S.2640, which sought to codify decisions of the Assistant Secretary of Labor for Labor-Management Relations under E.O. 11491. In the absence of any further specific indication of the meaning to be given to the words in the statutory definition, the Authority fashioned its own guidelines intended to strike a balance between the rights of employees under the CSRA and the 'requirement of an effective and efficient Government' imposed by 5 U.S.C 7101(b). The FLRA determined that the definition of a management official includes 'those individuals who: (1) create, establish, or prescribe general principles, plans, or courses of action for an agency; (2) decide upon or settle upon general principles, plans, or course of action for an agency; or (3) bring about or obtain a result as to the adoption of general principles, plans, or courses of action for an agency.' The Authority further found an intent to exclude from the bargaining unit those employees who were identified with management and whose inclusion would 'result in an apparent conflict of interest.' In applying these criteria to the case before it, the Authority noted that the mission of the agency was the procurement of data processing equipment. Since Contract Negotiator/Specialist and Computer Equipment Analysts did not decide whether to procure computer equipment or what the specifications of such equipment should be, they were not management officials. They were found to be experts or professionals whose actions assisted implementing, as opposed to shaping, policies. They were not excluded from the bargaining unit."

1. From Federal Labor Relations Reporter, Volume I, IV-79

GPO 888-847

Question 8. With respect to the Chapter 1 study, what procedures are currently planned to ensure quality and integrity of the analyses? If so, how?

Answer. To ensure the quality and integrity of the analyses, a staff was assembled that included highly qualified researchers, individuals who had conducted past studies of the Chapter 1 program, and people with Chapter 1 program experience. These staff were hired before Secretary Bennett or I joined the Department, and were selected on the basis of their technical qualifications and experience. Also, all of the research contributing to this study have been contracted out, and is now being conducted by independent researchers. These contracts were awarded through competitive procurements and were evaluated for their technical merit and for the qualifications of their research staff. The current plan does not include the use of peer review for reports emanating from the Chapter 1 study, which are required to be submitted to Congress at various times in the next ten months.

Mr. WILLIAMS. Let me conclude our questions to you with this: As I looked over the budget request document, I saw included in the high priority items which the Department would like to carry out this statement:

"Studies of ways in which children acquire knowledge and develop character."

What is intended there?

Mr. FINN. At the moment, all that is intended is some exploratory type of conferencing or paperwriting exploration. We think that the question of character formation is, as they say in the trade, a researchable question but we don't know quite how to frame it.

We think—not just the Secretary, it is also as put by James Q. Wilson in the lead article in the latest issue of the Public Interest, and a lot of other people also think that the question of character formation is of very considerable consequence to the future of the republic. Children obviously do acquire what we term character one way or another, good, bad, or indifferent.

I, at least, know very little about how one's character is formed, what are the influences upon it, what are the roles of schools as well as other forces in the acquisition of character.

I think that this is an issue worth examining, whether through biography, or psychology, through history or sociology, through all of the above. I don't know yet. We are at the most preliminary stage of just suggesting that we are not, as a nation, entirely content with the character formation that we see in our young people, and if we are concerned to do something about it in the long run, we had better understand more clearly where it comes from.

Mr. WILLIAMS. Let me pursue that. Most research is conducted, of course, for the purpose of determining renewed responses or change in direction of future responses. And that is really where my question goes.

Is the administration interested in trying to—I sense that this word is going to be a bit harsh, but interested in trying to manipulate teaching methods in such a way that we can provide America with the type of character in its young people that certain people within the administration believe is acceptable in America?

Mr. FINN. No, sir. We are not trying to manipulate character at all.

Mr. WILLIAMS. What are you planning to do with the research?

Mr. FINN. Well, we are simply trying to understand the—what we might call the taproots or wellsprings or influences on character.

Along with skills and knowledge, which are well established functions and goals of schooling, we think that a question such as the character one acquires in part from one's experience in formal education is an important issue to understand better.

And frankly, we have no plans beyond the further understanding of it, the usual expectation being with regard to educational research that in any case the Federal Government isn't the action agent to deal with the findings, but they are put out in the marketplace of ideas and if anyone thinks they are worth anything they are picked up and utilized by others.

Mr. WILLIAMS. Well, thanks very much for being with us, Mr. Secretary. As always, it is good to see you and we appreciate the frankness and the depth of your testimony here today.

Mr. FINN. Thank you for inviting me.

Mr. WILLIAMS. Our second panel is comprised of two people, Eleanor Chelimsky and Kenneth Mortimer. If you will, please come to the witness table.

Ms. Chelimsky is Director of the Program Evaluation and Methodology Division of the U.S. General Accounting Office and is here representing that Office.

Dr. Mortimer is the vice president and vice provost of the Pennsylvania State University, representing here today the National Association of State Universities and Land Grant Colleges.

Ms. Chelimsky, we have your testimony and we would appreciate it if you would summarize it as you see fit. We are delighted you are here today. Please proceed.

STATEMENTS OF ELEANOR CHELIMSKY, DIRECTOR, PROGRAM EVALUATION AND METHODOLOGY DIVISION, U.S. GENERAL ACCOUNTING OFFICE, AND KENNETH MORTIMER, VICE PRESIDENT AND VICE PROVOST, PENNSYLVANIA STATE UNIVERSITY, REPRESENTING THE NATIONAL ASSOCIATION OF STATE UNIVERSITIES AND LAND GRANT COLLEGES

Ms. CHELIMSKY. Well, it is a great pleasure for me to be here also. Thank you for inviting us.

Could I begin by introducing the people who are here with me, who are working on the study for you.

We have David Kordray, who is the study director, and Dr. Joan McLaughlin, who is the project manager for the study.

I will just give you the highlights.

Our work for the subcommittee sets out to answer three broad questions about information on education at the Federal level:

First, how much information is being produced and why is it being produced?

Second, what is its quality and timeliness?

I hope it is not true, what Secretary Finn said a few minutes ago, that all of the reports for the Congress are always delayed, but we are going to find that out.

Third, what is the best way for the Congress to ask for and receive the information it needs on educational issues?

To answer these questions fairly, we need, as in any evaluation, to look at what is reasonable to expect. So, before assessing how much information has been produced or how useful it has been to

the Congress, we first need to determine some conceptual things, such as the resources that have been available to the agencies producing information about education and the way those resources have been sustained or have shifted over the years.

While contextual factors are important in any evaluation, as I just said, they are especially important to consider in this study because of the continuous cumulative nature of the process by which information is produced.

Sometimes it takes a while just to learn what the right research or evaluation question is, much less to answer it. Even sophisticated data systems won't produce sound information year after year unless they are continually researched, updated, and improved. It is an iterative process. It doesn't happen overnight. And some research or evaluation questions just can't be answered without prior developmental work.

Perhaps there is no agreement on what should be measured, or perhaps the measures available aren't sensitive enough. How do you measure the quality of health care, how do you measure the quality of life, the quality of education, these are tough issues.

So, because information production is typically iterative, exploratory and likely to involve fairly long leadtimes, it is important to understand what resources have been available, how their patterns may have shifted over time, how research agendas may have been planned in light of the resources available, and how the information needs of the various sponsors and users have been reconciled, if in fact they have been reconciled, in the planning and resource allocation process.

As you know, our work is still in its early stages. What I am reporting on today is our initial review of changes in the availability of funding for producing information on education.

In a nutshell, then, and based on our work to date, I would make the following four points:

First, it seems that the Federal investment in education information has not only been severely affected by cost constraints since 1974 but also differentially affected.

If you look at figures 2 and 3 of my statement, you can see that the budgets for both NIE and NCES have decreased substantially over the 1974-84 period. In percentage terms and looking at constant dollars, the declines for both are strikingly similar, down 64 percent for NCES, 63 percent for NIE.

So, the cuts have indeed been severe. But they have also been differentially severe, which you can see if you look at figure 1.

The point here is that the Department of Education as a whole shows no overall pattern of decline. On the contrary, Department funding is up 22 percent in real terms during the same 10-year period of the NIE and NCES declines.

What this tells us is that while budgets for education itself have been rising, budgets for developing information about education have shrunk.

The second point, budgets for statistical information on education have been cut more deeply than budgets for statistical information in other topical areas.

NCES funds, for example, declined by 28 percent over the 1980–84 period, compared to a cut of only 8 percent on average for seven statistical agencies taken collectively.

My third point relates to program evaluation, which enables the Department's managers, congressional committees and the public to know how the Department's programs are working.

Well, program evaluation has sustained the severest cuts of all, a 62-percent decline in real terms, not over 10 years but over the 1980–84 period.

The Department's Office of Planning, Budget and Evaluations work declined from 114 studies ongoing in 1980 to only 11 in 1984.

I don't know what Secretary Finn is planning to put in those big packages of evaluations that he is sending over to you, but at the moment there aren't an awful lot ongoing.

So, it is reasonable to expect that over the next few years there will be a lot less information about the $17 billion annual Federal expenditure for education and what the Nation is getting for that money than there was in the past.

My fourth and last point is that we think this is likely to make a real difference to policymakers, both in the Congress and in the Department of Education.

A study we are just finishing shows that OPB's evaluations in education have shifted over the past 5 years from studies that look at program effectiveness to short position papers and policy analyses.

Now, this was an imminently predictable move away from systematic, carefully designed national studies which tend to produce the strongest information but also tend to take the most resources.

We also know that much of the information on block grants is now being produced at individual State levels.

NCES has scaled back or eliminated many of its data collection activities. NIE has shifted resources toward programs already protected by congressional requirements—the labs and centers, for example, or ERIC or NAEP—and away from such areas as teaching and instruction awards, which are aimed at some of the most important topics in education, identifying the determinants of effective teaching, studying classroom interaction, understanding the social and organizational context for learning.

In sum, we think there will not only be less information on which to base policy, but that that information is likely to be very different in terms of its nature, its scope, its diversity, its quality.

As we continue with our study of education information at the Federal level, we should have an opportunity to pinpoint for this subcommittee not only what is being produced but also what is not being produced, and the impacts of that foregone knowledge for policymaking.

Now, it goes without saying, we all know this, that decisions about policy are always going to be fraught with some uncertainty, even with the best information in the world. But it is a lot harder to find a solution to a problem, such as the math-science teacher shortage that hit us in 1983, when lack of information makes it impossible to identify fundamental things like the size of the shortage, its incident nationwide, its effects. We don't know those things.

Research, statistical and evaluation functions make up crucial components of our ability to develop such information and deal with such policy problems. So, cuts in these functions can deprive both the quantity and quality of information while yielding relatively little in dollar savings.

That concludes my remarks, Mr. Chairman. I would be happy to answer any questions that you or the committee may have.

Mr. WILLIAMS. Thank you very much.

[Prepared statement of Eleanor Chelimsky follows:]

PREPARED STATEMENT OF ELEANOR CHELIMSKY, DIRECTOR, PROGRAM EVALUATION AND METHODOLOGY DIVISION, U.S. GENERAL ACCOUNTING OFFICE

Mr. Chairman and Members of the Subcommittee. It is a pleasure to be here today to report on the work this subcommittee has requested the General Accounting Office to undertake--that is, an assessment of existing, federally produced information on education in the United States. In particular, you requested an evaluation of the quality, availability, and dissemination of information on selected topics in education. To guide our work, we have adopted a set of questions that include the following:

1. How has the federal investment in the collection, analysis, and dissemination of education information changed over time?
2. What are some of the consequences of these changes?
3. What are the implications of these changes for congressional oversight?

While we are not yet ready to answer these questions in any definitive sense, we do have some interim findings that are particularly germane to the topic of this hearing. First, I want to report changes in the availability of funding for producing information on the condition of education. Our assessment in this area covers three principal kinds of information--research, statistics, and evaluation--and concentrates on the three principal producers of this information within the U.S. Department of Education: the Office of Research (formerly the National Institute of Education, or NIE); the Center for Statistics (formerly the National Center for Education Statistics, or NCES)

and the Office of Planning, Budget, and Evaluation.[1] Second, I will discuss what these changes imply both for generating information and for making it available, now and in the near future.

Changes in Fiscal Resources for Information on Education

There have been a number of legislative actions in recent years (such as the Deficit Reduction Act of 1984) intended to reduce the growth of the federal government. The recent Gramm-Rudman-Hollings legislation has given these efforts increased emphasis.[2] It is therefore reasonable to expect, on the one hand, that information production, like many other areas in the federal government, would be influenced by these cost-containment and deficit-reduction activities. On the other hand, it is also reasonable to expect that certain types of information--evaluations of program or policy effectiveness, for example--could play a central role in deliberations about the deficit-reduction activities themselves. In the latter case--an

[1]We have omitted from our analysis the work conducted by the inspector general's office. We have also excluded special studies conducted occasionally by various program offices in the Department of Education.

[2]Gramm-Rudman-Hollings is now the Balanced Budget and Emergency Deficit Control Act of 1985, Public Law 99-177.

example might be the evaluation of public assistance programs recently called for by President Reagan--we might expect a continued level of support for the production of at least some information.

Given, then, that we want to assess changes in the size of the federal investment in education information at a time when the federal budget is being generally reduced, it has been necessary to index changes in resources for this information against some benchmark, so as to account for the changes occurring overall. The benchmark we have chosen is change in the federal investment in education as a whole.[3] This seems a reasonable choice because the education information produced by the executive branch is likely to be that which is most useful to executive branch managers. We assume that although not every dollar of service should be matched by a penny or a dime for information, the capacity to obtain information about education should increase or decrease somewhat as overall education expenditures increase or decrease. Therefore, the question that we need to ask is not merely "How has the federal investment in education information changed over time?" but also "Has the investment been differentially affected by the overall cost-containment efforts?"

[3]Our analyses focus exclusively on federal expenditures channeled through the Department of Education and do not include federal support for education through agencies such as the National Science Foundation.

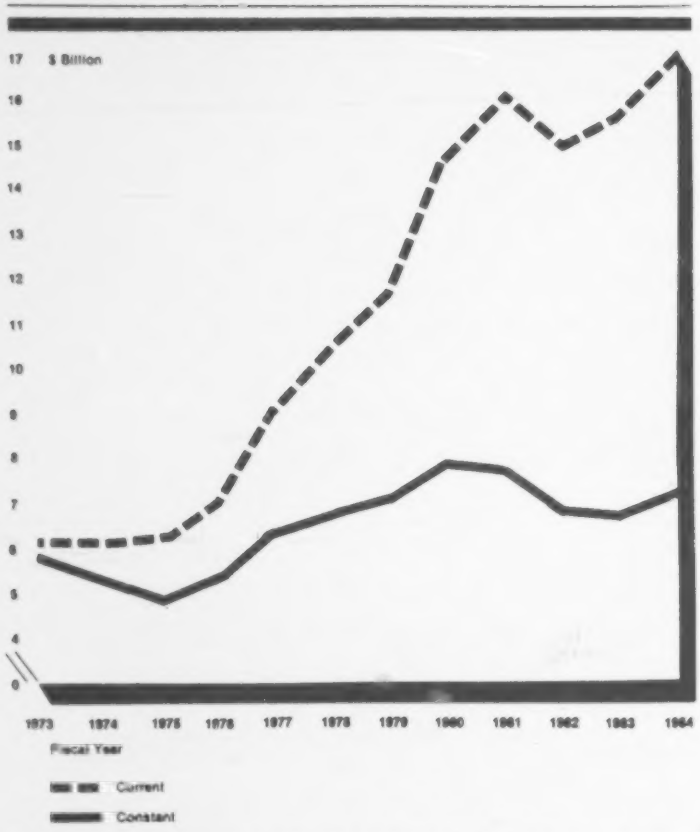
Our analysis of the trends in fiscal resources--over the period 1973 to 1984--for the National Institute of Education and the National Center for Education Statistics suggests that the answer to the second question is "yes": the reductions for education information have been substantially greater than those for education as a whole.[4]

To support this answer, let me draw your attention to figures 1, 2, and 3. Figure 1 shows the 1973-84 obligations in current and constant (1972) dollars for the Department of Education as a whole.[5] Figure 2 shows the obligations for the National

[4]Trend analyses for the National Center for Education Statistics begin in 1974, just after NCES was created by Public Law 93-380.

[5]We chose 1972 as the base year for calculating constant dollar amounts, because it was the year NIE was created and, thus, represents a baseline for investment in research and development. The expenditures for NIE, NCES, and the Office of Planning, Budget, and Evaluation are included in the total. That is, the figures for the Department of Education do not net out trends in investment in information. This has little effect on our general conclusions, however. The total expenditure for information as a proportion of the investment in education--from 1973 through 1984--ranged from 0.5 percent (in 1984) to 1.7 percent (in 1973).

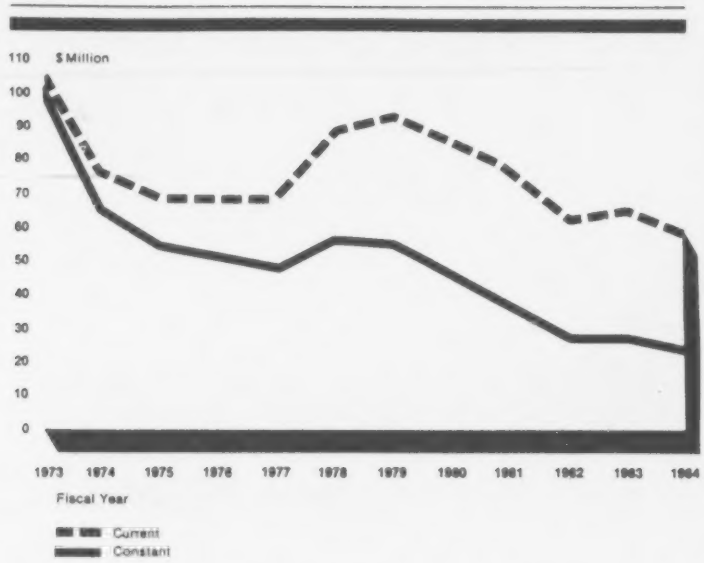
Figure 1: 1973-84 Obligations of the U.S. Department of Education in Current and Constant 1972 Dollars[a]



[a]Data are for the U.S. Department of Education, including the Office of Planning, Budget, and Evaluation, as well as the National Center for Educational Statistics and the National Institute of Education. Constant 1972 dollars are computed by using the implicit price deflator for federal government purchases of goods and services, as reported in Survey of Current Business.

Source: Internal documents of the U.S. Department of Education and The Budget of the United States Government (Washington, D.C.: 1974-85), appendixes for fiscal years 1975-86.

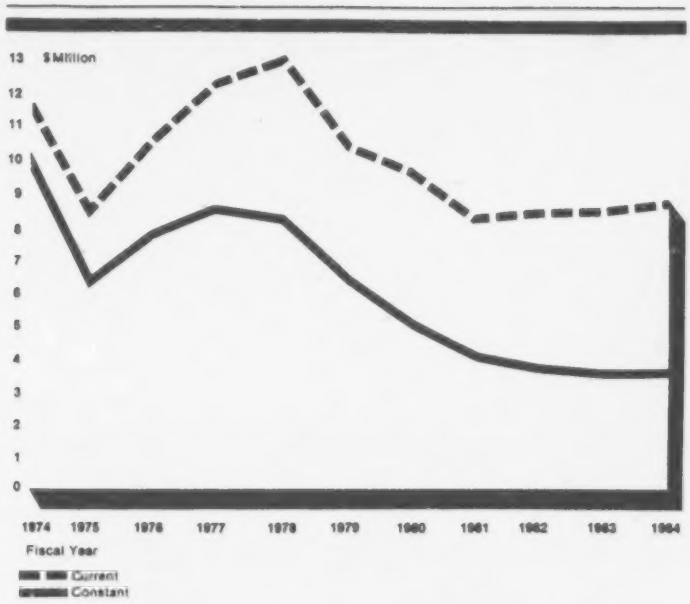
Figure 2: 1973-84 Obligations of the National Institute of Education in Current and Constant 1972 Dollars[a]



[a]Constant 1972 dollars are computed by using the implicit price deflator for federal government purchases of goods and services, as reported in Survey of Current Business.

Source: Internal documents of the National Institute of Education and The Budget of the United States Government (Washington, D.C.: 1975-81 and 1983-85), appendixes for fiscal years 1976-82 and 1984-86

Figure 3: 1974-84 Obligations of the National Center for Education Statistics in Current and Constant 1972 Dollars[a]



[a]This graph begins with fiscal year 1974, the first year the National Center for Education Statistics was in operation. Constant 1972 dollars are computed by using the implicit price deflator for federal government purchases of goods and services, as reported in Survey of Current Business.

Source: Internal documents of the National Institute of Education and The Budget of the United States Government (Washington, D.C.: 1977-85), appendixes for fiscal years 1978-86.

Institute of Education. In figure 3, we have plotted obligations for the National Center for Education Statistics, but they are program funds only (minus salaries and expenses).[6]

The Department of Education as a Whole. Figure 1 shows that fiscal resources for the Department of Education increased, in current dollars, from approximately $6.1 billion in 1973 to $17.1 billion in 1984, 180 percent. In 1972 dollars, this represents a real increase of 22 percent between 1973 and 1984.

Research and Statistics. By contrast, the trends for fiscal support of the production of research and statistical information show a different picture. For the National Institute of Education, figure 2 shows that while current dollar amounts fluctuated over the 11-year period, the general trend was downward. That is, in 1973 NIE had current dollar obligations of roughly $107 million; by 1984, these resources had fallen to $58 million, a 45-percent decrease. When viewed in real terms, the trend depicted in figure 2 is even more dramatic: from 1973 to 1984, NIE experienced a 76-percent reduction in fiscal resources, despite the 22-percent increase in the overall federal investment in education that I noted earlier.

Figure 3 charts similar information on fiscal resources for the National Center for Education Statistics. While the trend is more erratic, the net result is roughly the same. In both current

[6]We have not yet obtained salary and expense data for NCES prior to 1980.

and constant dollars, the National Center for Education Statistics experienced a decline in fiscal resources. In real terms, resources for the Center's statistical activities declined by 64 percent between 1974 and 1984, a decline approximately equal to the 63-percent decline that the National Institute of Education experienced during the same 10-year period.

A study of federal statistical programs by the Congressional Research Service reported that fiscal year 1984 budgets for seven major federal statistical agencies (including the National Center for Education Statistics) were, in real terms, 8 percent lower overall than the fiscal year 1980 budgets.[7] If we consider only NCES, however, we find that the inflation-adjusted budget--including salaries and expenses as well as program funds--decreased from $14.9 million in 1980 to $10.8 million in 1984. This is a 28-percent decline for NCES alone. These budget cuts were therefore disproportionately large, in comparison not only to the general decrease in real terms of 10 percent for education during the 1980-84 period but also to cuts experienced by other federal agencies primarily involved in statistical activities in 1980-84.

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[7]U.S. House of Representatives, Committee on Government Operations, The Federal Statistics System, 1980 to 1985 (Washington, D.C.: November 1984).

Evaluation. The state of program evaluation is also a good indicator for understanding federal efforts to improve the condition of education information. The major unit within the Department of Education responsible for evaluating federal programs is the Office of Planning, Budget, and Evaluation. For this office, our assessment is limited to comparisons of reported funding levels in 1980 and 1984. The Office has reported a 52-percent reduction in fiscal resources since 1980; that is, in current dollars, resources dropped from $22.7 million in 1980 to $10.9 million in 1984.[8] In real terms, the decline is even more dramatic--nearly 62 percent over the 4-year period.

For research, statistical, and evaluative information, then, the patterns of decline in funding are consistent and precipitous. Further, the consistency of decline across these three types of information suggests simple, uniform reductions in information rather than a substitution, say, of research for evaluative data or of statistics for either research or evaluation. Funding support for two of the three general forms of information about the condition of education has lessened to the

[8]See "A Profile of Federal Program Evaluation Activities," Special Study 1, issued by the Institute for Program Evaluation of the U.S. General Accounting Office in 1982, and a forthcoming study to be issued through GAO's Program Evaluation and Methodology Division.

tune of more than 60 percent over the past decade. For all three forms, major declines have occurred since 1980; these range from 31 percent (for the National Center for Education Statistics) to 62 percent (for the Office of Planning, Budget, and Evaluation), in real terms.

We should note that these sharp funding reductions have been experienced by agencies that can provide important information for policy decisions and for the education community at large. Furthermore, their budgets are small compared to the overall Department of Education budget. Their combined 1984 funding amounted to $83 million, or less than half of 1 percent of the total Department of Education's budgetary obligations of $17.1 billion.

The combined cut in funding of information for NIE, NCES, and the Office of Planning, Budget, and Evaluation during the period 1980-84 amounted to $58.6 million in constant 1980 dollars. This is not a very large sum over 5 years, in terms of either the Department of Education's budget or the federal budget. However, as proportions of the budgets of the relevant agencies, the reductions in fiscal resources for research, statistics, and evaluation were very large indeed--likely, in fact, to weaken the production of information, which is their major function. Let us turn now to some of the implications that funding reductions have on the availability of information to the Department and to the Congress.

What Are Some of the Consequences of the Reductions?

It goes without saying that these reductions in funding do not automatically mean that less information is now available or that all the information collected earlier is useful. Given recent advances in automated data processing, a substantial interest in synthesizing the evidence that has been amassed through prior research and evaluation, and a host of cost-saving mechanisms, it is entirely conceivable that greater efficiency has reduced the need to sustain high levels of fiscal resources, since more information of even better quality may be produced with fewer resources. However, it is also possible that less or different information is being produced now than was produced in the past. On this issue, our work is not complete. But what we do have suggests that the information being produced is both less and different.

Evaluation. The magnitude of the reduction in information being produced within the Department of Education can be illustrated by the responses to a questionnaire completed by the Office of Planning, Budget, and Evaluation in 1980 and again in 1984.[9] The number of studies in progress that the Office reported declined by 90 percent--from a reported 114 studies in

[9]The questionnaires was part of the larger GAO study of federal evaluation activities referred to above in the section on evaluation.

1980 to 11 in 1984. This clearly means that less information will be available on education programs funded by the federal government. The substantial decline in the number of evaluations issuing from the Department's evaluation unit can be plausibly attributed to the conversion of 38 education grants from categorical to block, under chapter 2 of the Education Consolidation and Improvement Act. What has happened to the information produced about those programs? Evidence available to us on information generated by state agencies on programs consolidated by the education block grant suggests that some relevant data are being collected and analyzed, but that the cross-state comparability of these data is uncertain and the information available for evaluating program effectiveness is sparse.[10]

In addition to the reduction in the number of studies conducted by the Office of Planning, Budget, and Evaluation, we have evidence of a shift in form, since 1980, away from relatively large-scale evaluative studies and toward smaller, less ambitious projects. Ongoing studies costing a million dollars or more, for example, numbered 26 in 1980 and 6 in 1984. Staff in that office have reported that compared to 1980, relatively more of their time

[10]U.S. General Accounting Office, Education Block Grant Alters State Role and Provides Greater Local Discretion, HRD-85-18 (Washington, D.C.: 1984).

in recent years has been devoted to brief issue analyses, position papers, and dissemination projects.

Statistics. Reductions have also been reported in the statistical information systems sponsored by the National Center for Education Statistics. The Congressional Research Service and GAO both recently looked at the Center in reviews of the larger federal statistical system in the period since 1980.[11] Both reported that NCES, while maintaining what it considered its core program, either scaled back or eliminated its collection activities. We believe that this may have serious consequences for the availability and quality of education information. For example, NCES delayed the noncollegiate Postsecondary School Survey, which led to gaps in education data on students in occupational programs. In addition, it decreased sample sizes and the frequency of data collection in some of its statistical programs, calling into question the precision of the data. Validity checks that had previously been made on some surveys were also eliminated. These and other reductions in the monitoring of data quality have taken place, in spite of the recognition by NCES and other agencies that the poor quality of its data (which consist largely of administrative records from school systems using diverse types of recordkeeping) is a major problem. (A

[11]U.S. General Accounting Office, Status of the Statistical Community After Sustaining Budget Reductions, IMTEC-84-17 (Washington, D.C.: 1984). See footnote 7 for CRS study.

listing of activities in 1982 and 1983 that were affected by budget reductions appears as appendix I.)

Weaknesses in some data systems have been recognized, and actions are being taken to improve them. An example is the recent development of the integrated postsecondary data system, which will provide a data base covering both traditional and nontraditional postsecondary institutions. A major rationale for the development of an integrated system is its improvement over some currently used surveys of postsecondary education that are recognized as having statistical deficiencies.

The Center for Statistics is redesigning its statistical system for elementary and secondary education. We have not yet fully reviewed the system or alternatives under discussion. We note, however, that staff of the redesign project have, in a recent draft report, identified four weaknesses in the current data system: poor integration and coordination of data collection, insufficient or missing data, poor quality of data, and untimeliness in reporting. Several initiatives are planned, including the development of a new elementary and secondary data set, in response to these problems. At this relatively early stage in what has become known as the "redesign process," we cannot offer an opinion on the adequacy or appropriateness of such plans. The issue of available funding should be raised again, however. Some aspects of the proposed redesign hinge upon the resolution of technical problems (such as the determination of sampling weights), which, as the Center's draft report notes, will

require considerable research effort. It will, of course, cost money to do this research well. Current and forthcoming budgetary deliberations for the Center in both the Department of Education and the Congress should consider the possible long-term costs of making cuts in the development of major new education data systems. These costs could include poorer quality in data and the complete absence of data in some education areas.

Research. As we have reported, the National Institute of Education has undergone substantial reductions in funding in the past decade. The decline since 1974 has been most dramatic within the past 4 to 5 years. In examining the consequences of these reductions, we have also examined obligations for major program areas and the labs and centers.[12] These are reported in appendix II.

In our examination of the changes that took place between 1980 and 1984, we considered the awards for labs and centers separately from the awards made in three program areas--teaching

[12]By labs and centers, we mean the institutions that were originated through the Cooperative Research Act of 1963 and the Elementary and Secondary Education Act of 1965. Their primary mandate was to conduct basic and applied research and to promote dissemination of findings to the education community. We are not including other centers, such as the Institute for Research on Teaching, the Center for Research on Bilingualism, and the Center for Studies of Reading, which were funded later.

and learning, education policy and organization, and dissemination and improvement of practice. We realize that the work of the labs and centers often falls within these areas, but we were interested in documenting the change in research activities external to the labs and centers. Considering them in this way, we found substantial reductions in the program areas: teaching and learning experienced a decrease of 57 percent; education policy and organization decreased 83 percent; and dissemination and improvement of practice decreased 63 percent. Labs and centers, while experiencing cuts in overall funding levels, lost relatively less (28 percent).

The pattern of reductions can also be examined in terms of relative proportions of total expenditures. Specifically, whereas labs and centers assumed roughly two fifths of all obligations in 1980, by 1984 their share of the total had risen to three fifths. Also, the Educational Resources Information Centers (ERIC) assumed about two fifths of the funds for dissemination and improvement of practice in 1980; in 1984, ERIC required nearly three quarters of these funds. Similarly, the National Assessment of Educational Progress (NAEP) gained a substantially higher share of available funds in 1984 (two fifths of the teaching and learning program) than in 1980 (roughly one fifth). The unsolicited proposal program received only 4 percent of all obligations in 1980 ($3.2 million), but it had been eliminated entirely by 1984.

Our work on how the priorities of NIE were set and the many influences on this process is incomplete, but we can now note that the areas that have been affected the least by funding cuts--NAEP, ERIC, and the labs and centers--are those that have been protected by congressional requirements. The other side of this, of course, is that research activities outside these specific programs have been substantially reduced. Specifically, the overall number of awards outside these programs dropped from 422 in 1980 to 72 in 1984.[13] Within the teaching and learning program area, for example, 34 awards were given for testing, assessment and evaluation in 1980, compared with 1 award in 1984. For education in the home, community and work--education research with a broader context--20 awards were given in 1980 and none were given in 1984. Teaching and instruction awards, aimed at the identification of the characteristics of effective teachers, classroom interactions and the social and organizational context for teaching and learning, dropped from 30 in 1980 to 7 in 1984. These examples, indicative of the reductions in the awards in all program areas, suggest that sparse and less diverse information will be available on which to base future decisions about education. In our future efforts, we will be examining the nature, scope, and quality of the work that NIE has produced or initiated.

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[13]NAEP, ERIC, and miscellaneous awards were not included in this total. Supplemental awards to labs and centers were included.

Summary and Implications

The nation is currently in a period of serious fiscal duress. Pressures to reduce the federal deficit are likely to overshadow--and possibly overrule--considerations of expanding budgetary allocations beyond current levels. Within the community of federal research, statistics, and evaluation in education, the level of funding available for information production is already low. More importantly, information output on the condition of education has been lowered to the point at which program management, departmental policymaking, and congressional oversight may have become extremely difficult. We have not finished our in-depth investigation of changes in the information that is being produced, its quality, and how it is disseminated. Our current findings, however, reveal the possibility that education information is inadequate for some of the decisions that face the Congress.

One area that illustrates this problem is information on American teachers. For example,

- one emerging issue for education policy is the possible decline in the number of minority teachers in primary and secondary schools. Relevant information for addressing this topic has not been collected by NCES's Common Core of Data since 1968.[14]

[14]Telephone interview with NCES staff and review of NCES documents.

- despite the fact that the estimated turnover rate among U.S. teachers in the next 10 years is between 50 and 70 percent, national data on turnover and attrition were last collected in 1969;[15]
- we recently found that gaps in the information available on mathematics and science teachers prevent us from assessing either the number of math and science teachers or the quality of teaching.[16]

In general, the chief response to reductions in fiscal resources seems to have been the elimination of discretionary activities in order to maintain congressionally mandated requirements. This, of course, has its costs. In the research domain, the number of awards or the size of awards will necessarily be reduced. These reductions are likely to narrow the

[15]Statement of Lee Shulman, professor of education at Stanford University, in U.S. House of Representatives, Subcommittee on Select Education, Hearings on Reauthorization of the National Institute of Education (Washington, D.C.: March 1985); and oral remarks by Chester E. Finn, Jr., Assistant Secretary for Educational Research and Improvement, at a session of the Education Policy Forum, Washington, D.C., January 13, 1986.

[16]U.S. General Accounting Office, New Directions for Federal Programs to Aid Mathematics and Science Teaching, PEMD-84-5 (Washington, D.C.: 1984).

number of research and policy perspectives brought to bear on particular topics. Some topics may be neglected altogether. For statistics, the extent to which congressional questions can be answered depends on the adequacy of the information base reported by core data-gathering activities. For evaluation, whether or not issues can be addressed depends on whether or not questions have been posed in sufficient time to obtain valid answers.

Of course, prior research, extant data, and completed evaluations can be pressed into service when new data collection has not been undertaken or is not feasible. The danger here is that existing data may be short on "shelf-life" or too low in quality to sustain continued reapplication to new questions. A continuous production system must be in process to meet departmental and congressional information requirements with respect to both short-term and long-term educational issues. Research, statistical, and evaluative functions make up crucial components of the ability to meet these requirements. Since cuts in these functions can deprive both the quantity and quality of information while providing relatively little in dollar savings, reductions should be made only with careful consideration. Their long-term costs can mean both information forgone and policies based on something less than the most complete, relevant, and timely data.

This concludes my remarks. I will be happy to answer any questions that you or members of the subcommittee may have.

APPENDIX I
CHANGES IN DEPARTMENT OF EDUCATION STATISTICAL ACTIVITIES IN FISCAL YEARS 1981-84[a]

Change	$ change	Effect	Additional comments
Sample size of first follow-up of National Longitudinal Study of High School and Beyond reduced from 58,000 to 52,000	Not available	Reduced precision in data estimates	
Noncollegiate Postsecondary School Survey delayed	$225,000	Data gap	Survey reestablished in 1983 to provide characteristics of students in occupational programs; plans were to add supplementary questions to Current Population Survey
Fifth follow-up of Survey of the High School Class of 1972 cancelled			Private and public institutions contributed money to continue the program
State Technical Assistance Grants were eliminated	$350,000	No direct state assistance to develop statistical capability	
Private School Survey data compilation delayed	$200,000	Data gap	
Survey of Recent College Graduates eliminated	$224,000	Data gap	OMB believed a biennial survey was too frequent
Teacher Demand and Shortage Survey eliminated	$175,000	Data gap	

APPENDIX I (continued)

Change	$ change	Effect	Additional comments
Components of Higher Education General Information Surveys reduced, including students enrolled for advanced degrees and 1982 institutional characteristics	Not available	Reduced data	Components rescheduled with a 50% reduction for 1983
Statistics collected in October 1982 included in Current Population Survey Supplement as Survey of Postsecondary Education, replacing Survey of Students in Noncollegiate Postsecondary Schools, which was discontinued after fiscal year 1981			
Common Core of Data eliminated some state aggregate data from annual collection	Not available	Data gap	
Frequency of Library General Information Survey decreased	Not available	Data gap	
Student Residence and Migration Survey changed from biennial to triennial	Not available	Data gap	Expected to provide time to improve the quality of data from various state tracking methods

[a]All funding changes in this table went into effect in fiscal year 1982. The data were reported in U.S. General Accounting Office, Status of the Statistical Community After Sustaining Budget Reductions, GAO/IMTEC-84-17 (Washington, D.C.: July 18, 1984), pp. 52-54.

APPENDIX II
1980 and 1984 NATIONAL INSTITUTE OF EDUCATION OBLIGATIONS BY PROGRAM AREA

Program area[a]	Fiscal year 1980		Fiscal year 1984[b]		% change
Teaching and learning					
Contracts and grants	$12,191,358		$ 2,443,594		
NAEP	4,161,990	22[c]	3,194,842	40[c]	
Other	573,586		24,545		
Awards to labs and centers	2,074,016		2,456,786		
Total	$19,000,950	26[d]	$ 8,119,768	22[d]	-57
Education policy and organization					
Contracts and grants	$ 5,501,691		$ 990,374		
Other	447,382		54,322		
Awards to labs and centers	281,718		---		
Total	$ 6,230,791	8[d]	$ 1,044,695	3[d]	-83
Dissemination and improvement of practice					
Contracts and grants	$ 8,299,371		$ 1,149,115		
ERIC	5,553,785	39[c]	3,826,784	74[c]	
Other	253,487		189,708		
Total	$14,106,643	19[d]	$ 5,165,607	14[d]	-63
Office of the Director					
Contracts and grants	$ 225,062		$ 467,264		
Other	194,485		34,599		
Awards to labs and centers	45,509		18,822		
Total	465,056	1[d]	520,684	1[d]	+12
Labs and centers	$30,607,913	42[d]	$21,944,342	60[d]	-28
Unsolicited proposal program	$ 3,213,861	4[d]	--		-100
Total	$73,625,214		$36,795,096		-50

[a]"Contracts and grants" are awards to individuals and public and private agencies. "Other" is a miscellaneous category primarily used to report the number of small awards to various recipients listed in the NCER report. "Awards to labs and centers" indicates supplemental awards in addition to the main lab and center grants. NAEP is National Assessment of Educational Progress; ERIC is Educational Resources Information Centers.

[b]Fiscal year 1984 dollars have been converted to fiscal year 1980 constant dollars. Subtotals do not correspond exactly to the sum of individual accounts due to rounding.

[c]Percent of program area obligations.

[d]Percent of total NIE obligations.

Source: National Council on Educational Research, annual reports for fiscal years 1980 and 1984.

Mr. WILLIAMS. Dr. Mortimer.

Dr. MORTIMER. I will try to be equally brief.

I am pleased to testify before you today. I don't officially belong to any of the organized groups that you may have heard on the general topic of research and education, though I was asked to testify by the National Association of State Universities and Land Grant Colleges.

I have other interests and experiences that may be of use to you. I currently serve as a vice president, of course, but I have been a professor of higher education since 1969 and I have directed research centers at Penn State and worked at them at Berkeley and other national places. I am also past president of the Association for the Study of Higher Education, which is the professors group in higher education. I served for 2 years as chair of the study group on the condition of excellence in American higher education, whose report was issued in October 1984 by then Secretary Bell. That was an NIE sponsored study group.

So, part of what I say today will be based on those experiences, but mostly on my experience as chair of the study group.

I have three basic points that I want to share with you very briefly, and then I would be happy to answer questions and participate in whatever discussion you think appropriate.

You have heard in other testimony and on the record in the past about the timeliness and relevance of the information gathered by the Government, and those of us who have toiled in the research vineyards of higher education for the last decade have a consistent litany of complaints about that data, and I am not going to go into that today except to say that I am very pleased to see what appears to me to be increased understandings about the limitations of the quality of that data and major steps to improve them within the Department.

In fact, our study group made five or six recommendations to the Federal Government about that, three of which I will share with you today.

That is simply that the Department should begin to solicit advice from a broad crosssection of the community of users of that, and I am delighted to hear today that that process is now going on.

We also asked that NIE, now OERI, should take a leadership role in the cooperative development of the systematic and continuing data base for noncollegiate education and training, and that is including what goes on in the military and not-for-profit agencies, and that is a major gap that we see.

Some other things that we have mentioned in regard to that, as well, is our lack of information about a systematic and comprehensive approach to the collection of data on adult learners, and that has also been a major factor.

So, in addition to what is in my testimony, I wanted to stress those three things.

My second major point about the higher education research community is it has typically perceived—and we will say the previous organization, NIE, as dominated by staffers and leadership that has two very important weaknesses.

It turns over too regularly to be effective help to a research community that depends on continuity and consistent research direction.

A research program takes something like 2 or 3 years to get going. You make an announcement, you go out for RFP's, you review them, and then you start, and that takes time. And historically the agency has turned its staff over too frequently to be effective in that regard.

And second, most of the staffers in there have experience in public schools—that is, elementary and secondary education—and, frankly, are either uninformed about research in higher education or unsympathetic to what we regard as the special nature of colleges and universities.

I am most concerned in my remarks about that special nature of higher education. Of course, it is an enterprise of vast scope and diversity, 3,300 colleges and universities enrolling more than 12 million students, employing almost 2 million workers, and accounting for something like 3 percent of the gross national product.

And it serves in this country the masses, rather than a few elite. A college degree, as you know, is the basic gateway for an ever-growing number of occupations, and almost is a gateway to intellectual development.

The point here is its importance is far greater than its numbers would indicate.

Our basic concern in the higher education community is perhaps the lack of priority in the overall programs of NIE and OERI about higher education concerns.

I must, on the other hand, express my great pleasure, and those of us in the higher education community, about the fact that two of the centers and labs are now devoted to concerns in the postsecondary education segment. That is, of course, the Center for Postsecondary Teaching and Learning at the University of Michigan, and the Center of Postsecondary Management and Governance at the University of Maryland in cooperation with Columbia, Wisconsin, and Arizona State.

We think this is a significant first step in raising the priority of postsecondary education concerns in the overall programs of the office.

My last major and third major set of comments is about the agenda for research on postsecondary education. Of course, no experienced researcher should fail to seize the opportunity to comment briefly on that.

I am particularly, I think, well placed to do that because it was a major emphasis that the study group had in its year-long deliberations about that.

We set out principles that, if adopted, would improve the quality of undergraduate education in colleges and universities.

Basically, we argued that we need to pay much greater attention to the learning of students we graduate from our institutions, as opposed to the learning of the students we admit.

If we want to improve the quality of our product, there is no better place to start than paying greater attention to student outcomes.

Therefore, the focus on outcomes is the basis of the suggestions that are in my written testimony, and I don't intend to go into a great deal of detail here, in the interest of brevity.

But we have asked questions about what curricular approaches, teaching and learning environments and practices are associated with the various dimensions of student learning and growth. Are certain approaches more effective than others, what forms of assessment—our second question—of assessment and feedback are associated with greatest levels of student learning and development? And third, what are the most effective organizational strategies, policies, processes available to colleges and universities as they seek to maximize student learning and development?

And last, what is the relationship between costs and the various dimensions of student learning and development?

I am informed just recently that some of these questions are in the priorities of the agency as it moves forward to the next couple of years, but I have yet to have a chance to review those priorities.

In short, there are just really three important points about the type of agenda that the study group and I would have the agency consider.

First, it sets general priorities for Federal agencies, which have the potential of leveraging Federal dollars into programs that would be supported by private agencies, as well.

In that situation, we refer to the "bully pulpit" idea, that when an agency like OERI comes out and announces a worthwhile set of activities, it has the impact of leveraging programs and others, and there is substantial evidence to that effect that has occurred in the last year and a half since the release of the study group's report.

Second, this agenda is action-oriented. It is directed toward providing recommendations for the most effective ways to improve the quality of our enterprise.

Then last, it expresses our confidence that the details of any such research projects at best will be more persuasive if they are left to individual researchers and research organizations than if dictated by an external body.

I have made three basic points about this matter .

The first is, the well-known concern about the timeliness and relevance of Federal data gathering activities, that is well placed.

Second, there is a fundamental concern about the commitment of Federal agencies and staff employed in them to the special nature of higher education concerns.

And last, this general research agenda which is action-oriented and has the potential for leveraging Federal dollars that would be supported by private agencies such as private foundations and some State level bodies.

I would be happy to answer any questions about that general thrust.

Mr. WILLIAMS. Thank you very much.

[Prepared statement of Kenneth Mortimer follows:]

PREPARED STATEMENT OF KENNETH P. MORTIMER, VICE PRESIDENT AND VICE PROVOST AND PROFESSOR OF HIGHER EDUCATION AND PUBLIC ADMINISTRATION, THE PENNSYLVANIA STATE UNIVERSITY

I am pleased to be asked to testify before this Committee. While I do not officially belong to any of the organized interest groups that you may have heard on the general topic of research and education, I was asked to testify by the National Association of State Universities and Land Grant Colleges.

I have other interests and experiences that may be of interest to the Committee. While I currently serve as a Vice President and Vice Provost of The Pennsylvania State University, I have been a Professor of Higher Education since 1969. I directed The Pennsylvania State University's Center for the Study of Higher Education from 1976 through 1981, worked at the USOE-sponsored Center for Research and Development in Higher Education at the University of California-Berkeley in 1968 and 1969, and since 1980 have served as a member of the Board of Directors of one of the NIE-sponsored centers, the National Center for Higher Education Management Systems. I am also the Past-President of the Association for the Study of Higher Education, the professors' group in higher education, and from 1983 through 1985 I served as Chair of the Study Group on the Conditions of Excellence in American Higher Education—an NIE-sponsored study group whose report *"Involvement in Learning"* was released by Secretary Bell in October of 1984.

Those of us who have toiled the research vineyards of higher education for the last decade have had a consistent litany of complaints about federal support for research on higher education. Many of these complaints already are reflected in previous testimony given either before this Committee or to the Secretary of Education and his Assistant Secretary, or in the national and professional press.

For example, all researchers in education have been concerned about the timeliness and relevance of data gathered through such national surveys as the Higher Education General Information Survey. The experienced users of HEGIS are well aware of its weaknesses.

The interim report of the Study Group on the Conditions of Excellence in American Higher Education, "The Progress of an Agenda," was presented to the Director of the NIE in May of 1984. Our recommendations concerning educational data focused on the problems of inconsistencies, non-comparabilities and outright gaps in the various data series available. We made five recommendations which I repeat here.

1. The Department of Education should solicit advice from a broad cross-section of the research community and other informed parties to assess the quality of current educational data, to suggest the kinds of data series that ought to be maintained, to reconsider the processes by which such data are collected in many agencies, and to recommend reporting capacities that would be useful to the educational community at large.

2. NIE should take a leadership role in the cooperative development of a systematic and continuing data base for non-collegiate education and training in the United States (including the military and non-profit agencies). This cooperative effort should involve other agencies of the Department of Education, the Department of Labor, the Armed Forces Training Command, the National Center for Charitable Statistics, and the American Society for Training and Development. It is estimated that much of the data on the huge and amorphous "second system" of postsecondary education already exists in fragmented form.

3. NIE should take the leadership role within the Department of Education in revitalizing the Federal Interagency Commission on Education (FICE). A few years ago FICE was an organization representing approximately 20 agencies of the Federal Government—from the military to the National Science Foundation—which had major educational missions and produced descriptive information on the missions and programs that was useful to a wide range of constituencies.

4. A joint research advisory committee involving NIE, the National Center for Educational Statistics, and the Office of Postsecondary Education should be created to guide research on the subject of transcript analysis. We make this recommendation in the light of the "Postsecondary Transcripts" study sponsored by the National Center for Education Statistics, the first phase of which involves the gathering and coding of college transcripts from those students in the "High School and Beyond Sample" who have attended postsecondary institutions. We believe that it is essential that research questions be interjected at an early stage in the process so that data and coding will be sufficiently malleable and productive.

5. A systematic and comprehensive approach to the collection of data on adult learners in postsecondary education should be implemented. Most of the informa-

tion currently available about the participation of adults in undergraduate education is fragmented and incomplete because we can collect it principally from full-time students and can ask questions only from the students' perspective. We thus recommend that federal agencies and some relevant non-federal research agencies involved in large-scale research and data collection, design and test a procedure that will both reach part-time students and gather information from the perspective of institutions of higher education.

6. NIE should convene an annual meeting of the administrators of the Graduate Records Examinations and other examinations normally taken by college graduates to consider how the data generated from these examinations can be analyzed and disseminated more effectively. They should consider defining a sample control group of test takers that can be monitored on a yearly basis so as to provide a continuing measure of achievement—at least of those American students who intend to continue their education beyond the baccalaureate level.

I suspect that some of these recommendations have been carefully considered as the Office of Educational Research and Improvement, under new leadership, has been reorganized and developed a new agenda. I for one would like some type of progress report on the extent to which the recommendations from this Study Group have had any impact on the reorganization.

My second major point is that the higher education research community has typically perceived NIE as dominated by staffers and leadership that has two important weaknesses:

It turns over too regularly to be effective help to a research community that depends on continuity and consistent research directions and;

It has experience in public schools—elementary and secondary education—and frankly is either uninformed about research in higher education or is unsympathetic to its special nature.

In this testimony I am most concerned about the special nature of higher education. Higher education in America is an enterprise of vast scope and diversity. Thirty-three hundred colleges and universities enroll more than 12 million students, employ nearly 2 million workers and account for approximately 3% of the gross national product. Further, higher education serves the masses rather than only a few elite. A college degree has become the basic credential for an evergrowing number of occupations as well as a necessary criterion for leadership in virtually all walks of life. It stands as the gateway to intellectual development in our society and has an importance far beyond the number of students it serves or the workers it employs. It is not too much of an exaggeration to say that higher education has a major impact on the health of America's competitive position in the world and in the strength of its intellectual and technical leadership.

Yet for years, there was only one lab and/or center devoted to higher education concerns—the National Center for Higher Education Management System. Further, there was little significant federal support for research on higher education within the NIE structure. An occasional grant got great publicity simply because it was so unexpected on the part of the higher education community.

For example, in the time period of 1978 to 1980 a grant program was announced that promised approximately a million dollars of funds available to study organizational processes in higher education. National peer review committees were established and a procedure developed and grant proposals solicited. To my knowledge no grants were ever awarded on this program. There was either a change in priorities or a decrease in the amount of funds available to support NIE's efforts.

The decision at that time may have been quite appropriate but it certainly had the impact of further souring the higher education research community's attitudes towards NIE.

I might point out that I am extremely pleased that this administration has seen fit to fund two centers devoted exclusively to higher education research—the Center on Postsecondary Teaching and Learning at the University of Michigan and the Center on Postsecondary Management and Governance at the University of Maryland.

This is a significant first step in raising the priority of postsecondary education in the overall programs of the office.

My last major set of comments will be about an agenda for research on postsecondary education. No experienced researcher should fail to seize the opportunity to suggest a series of things on which we need more basic information.

I am particularly well placed to do this, since the Study Group on the Conditions of Excellence provided such an agenda in its final report.

Our report offered a set of principles that, if adopted, would improve the quality of undergraduate education in our colleges and universities. Basically we argued

that we need to pay much greater attention to the learning of the students we graduate from our institutions, as opposed to the learning of the students we admit. If we want to improve the quality of our product there is no better place to start than paying greater attention to student outcomes.

Therefore the focus on outcomes is the basis of our suggestions about a research agenda for higher education. The essence of our recommendation is as follows:

Federal and State agencies should focus their funding strategies and research activities on how to facilitate greater student learning and development.

We need more information about what students learn in college, how they grow, and ways that learning and growth can best be assessed. Our report employs a theory of effective learning that emphasizes a fundamental concern about what happens to students when they participate in education. Inherent in our theory, are some hypotheses that call for further exploration, for example, that information and feedback enhance college student involvement and lead to greater student learning and development.

Our research agenda focuses on student outcomes and requires that some of the following questions be addressed more systematically:

1. What curricular approaches, teaching and learning environments, and practices are associated with the various dimensions of student learning and growth. Are certain approaches more effective than others with students of differing ability levels and learning styles?

Here we refer to environmental characteristics, curricular structures, sequences and requirements, pedagogy, academic advising, student peer groups, and changing student expectations. Our recommendations support the importance we attach to these matters. There have been no systematic comparisions of these approaches and there is no question that higher education needs better indicators of the relationships between environmental characteristics and the persistence, growth and achievements of different groups of students (e.g., adults and minorities).

2. What forms of assessment and feedback are associated with greater student learning and development?

We are concerned that developments leading towards greater assessment of student learning be interpretive as supportive rather than simple minded attempts to measure everything that moves. In recent years, a number of colleges have established assessment programs that simultaneously involve faculty development and measure of gains in student learning. A carefully selected set of case studies, for example, might help us determine just how successful these experiments have been in terms of their intended objectives.

When one talks about "forms of assessment," the reference is usually to tests and the uses we make of them. Research is also needed on the educational impact of different types of tests and score reporting systems, and on the uses of those tests and scores.

3. What are the most effective organizational strategies, policies, and processes available to administrators as they seek to maximize student learning and development, and simultaneously to utilize their resources more effectively?

This question reflects the Study Group's concern that the process of implementing improvements is crucial to better student outcomes. Here we are concerned in finding out the ways that major barriers to improvements—costs, faculty resistance, lack of administrative incentives—can be overcome. What are the relative impact of different kinds of incentives in encouraging faculty, administrators, legislators and state and federal agencies to concentrate on promoting growth in student learning? What are the different effects of various patterns of governance, leadership, and organizational structures on faculty commitment to teaching, hence, (ultimately) on student learning and development?

4. What is the relationship between costs and the various dimensions of student learning and development?

In examining materials in cases, we found that some low-cost institutions seem to be providing highly effective education, and that some relatively affluent institutions seem to be less effective. Since we define effectiveness in terms of student learning, and since we specify some of the dimensions along which learning ought to occur, it is time to analyze the costs of enhancing learning along each of these dimensions. One way of going about the task might be to consider the interactive effects of various types of student financial assistance on both short-range and long-term outcomes of postsecondary education.

There are three important points about this type of agenda.

First, it sets general research priorities for federal agencies, private foundations, research organization and individual researcher—that has the potential of leverag-

ing federal dollars in a way in which might gain support from dollars in the private sector;

It stresses action-oriented research directed towards providing policy analysis and recommendations for the most effective ways to implement improvements in higher education;

They express our confidence that the precise details of research projects will be more persuasive if left to individual researchers and research organizations than if dictated by an external body.

In closing, I have offered three basic points about research on postsecondary education:

The well known concern about the timeliness and relevance of federal data gathering activities is well placed;

There is a fundamental concern about the commitment of federal agencies and the staff employed in them to the postsecondary research community;

I have offered a general research agenda that emerged from my work as Chair of the Study Group on the Conditions of Excellence in American Higher Education.

I would be happy to answer any questions.

Mr. WILLIAMS. Mr. Bartlett.

Mr. BARTLETT. I very much appreciate the testimony of the two witnesses. I will ask you each the same question.

In your opinion, what is the significance of the Office of Education Research in terms of a positive impact on education research in this country as a total? Do you have a way of describing that, in your judgment? Dr. Mortimer?

Dr. MORTIMER. Let me say for the higher education community, with which I am very familiar, and I am much less familiar with the elementary-secondary component, it has, first, the capacity and it has in the last year tended to set the agenda for issues of great concern to the higher education community.

The fact that, for example, as Mr. Finn was pointing out, that when he announces a grant program as little as $700,000 to $1 million, he will be deluged by a series of proposals of professors and research agencies that are interested in performing basic studies on those questions.

So, the general answer is it is of great use and high visibility in the higher education community in terms of the agenda and the priorities that it announces to the public and to the researchers.

Mr. BARTLETT. Let me see if I understand. What you are saying is the bulk of the actual research is done elsewhere, but the department by announcing that research grant helps to set the agenda and the tone for privately funded or foundation funded?

Dr. MORTIMER. Well, more money goes to research in higher education from private foundations than through the historical NIE, OERI arrangement.

Second, of course, is this data business is the basis for a good deal of that research, and it is used for descriptive and information concerning colleges and universities. It is the only source for such information.

Mr. BARTLETT. Ms. Chelimsky.

Ms. CHELIMSKY. Yes. I should point out that I haven't studied the impact of NIE's work but I would say that I used enormously in my career as a researcher the data that are put out. I think that very definitely the use of longitudinal series is an absolutely important thing.

Whenever they change it, you know, that means your time series is out the door. So, it is very, very useful to every researcher I know from that point of view.

But I can't speak to the specific impact of NIE on educational research. I haven't studied that.

Mr. BARTLETT. Your study was more of the expenditures, rather than the outcomes?

Ms. CHELIMSKY. We are going to be looking at the quality of the work that is done. We haven't got there yet. We are going to be looking at the relevance of the work to the users, because, as I understand it and I think the committee particularly has asked us to try to see why there seems to be such a dichotomy between what people need and what they eventually get.

So, we are going to try to look at that question, but we are not going to be looking at the impact of NIE's work on the state of educational research in the country. That might be something we could do after the study is over.

Mr. BARTLETT. When will the second half of the study then be completed?

Ms. CHELIMSKY. We think by the end of December.

Mr. BARTLETT. A minute ago you said that as a researcher you have had a great deal of dependence on the data.

Ms. CHELIMSKY. A great deal of use of the longitudinal series put out by NCES, and I would share Mr. Finn's priority for that, although I have some other things that I would like to push, as well. I am sure we all have different views. But everyone I know uses those data bases.

Mr. BARTLETT. The data base, in your judgment, is essential to research from private sources?

Ms. CHELIMSKY. Yes.

Mr. BARTLETT. And have you used the other types of research or the other outcomes from the office?

Ms. CHELIMSKY. Well, one thing that we do a lot of at GAO is syntheses of other people's work, and so when we were doing our study on math and science that I was talking about, where we weren't able to find the data that we were looking for, we did put together all of the—some of it had been done by NIE but some of it had been done at universities, some of it had been done elsewhere.

So, I am not an expert on the quality of NIE's work at this particular point, but I fully expect to be by December.

Mr. BARTLETT. By December?

Ms. CHELIMSKY. That is a joke.

Mr. BARTLETT. Thank you. I appreciate the humor.

Thank you, Mr. Chairman.

Mr. WILLIAMS. As you have studied, reviewed the restrictions and funding, have you found that the Office of Research has balanced its various functions in an evenhanded way, or has it tilted in one direction or another?

Ms. CHELIMSKY. Well, we haven't done the quality part yet, as I said, of the study, and that would give me a very important point to be able to speak from.

Mr. WILLIAMS. With regard to assignment of money within the various functions, though, you have studied that, have you not?

Ms. CHELIMSKY. Yes, we have.

Mr. WILLIAMS. That is where my question goes.

Ms. CHELIMSKY. But I think also it is important to look at what the stuff is used for.

Mr. WILLIAMS. Oh, sure. You haven't done that yet.

Ms. CHELIMSKY. But the issue that I see is a kind of de facto concentration. I say de facto because it isn't clear to me that the concentration that we have arrived at is the one that is either the right one or that has even been chosen.

In other words, we see an enormous concentration in the labs and centers. They moved from two-fifths of the whole budget to three-fifths inside of 5 years, simply because of the reductions in other funds.

You see the same thing with ERIC, you see the same thing with NAEP, kind of de facto assuming of importance. And that is a budgetary issue.

That is what I meant, the qualitative issue should play, and I haven't got the data that I need yet to speak to that.

So, yes, imbalance.

Mr. WILLIAMS. Dr. Mortimer, in this document I remember reading , although I can't find it just now that I need it, an indication that some institutions with less funding than others seem to do a better job of preparing students, while institutions with considerably more money seem to do a less good job of preparing students.

The administration, in its budget request to the Congress, appears to be planning to develop a list of indicators that would describe which postsecondary institutions do the best job.

Is that a legitimate pursuit for the office?

Dr. MORTIMER. I think it is legitimate to begin to describe the dimensions on which you can ask that question. When we made the observation, and you correctly point out, an involvement in learning, we made it based on our experience. We had some eminent people who have visited over 200 institutions as they move around the country, and we acquired a certain experience. There are very, let us say, parsimonious, or institutions operating on shoestring budgets that appear to be doing very effective jobs in their education. The question was asked was why.

Now, whether or not one would get back the indicators of ENG expenditures per student and trying to relate that to some sense of outcomes troubles a lot of us, because it is quite simplistic in its approach. The real danger of that kind of information is simply a meat ax approach to education.

So, we are very concerned about that. It would only be legitimate, from our point of view, then, if we began to describe some of the dimensions of effective performance, and we attempted to do that in our report as we talked a little bit about it.

So, I think it is a legitimate activity with a very strong qualification. I hope you interpreted my statement as a strong qualification that these things need to be treated with care.

Mr. WILLIAMS. Excellence in education, particularly in higher education, is a pretty iffy thing. One person's excellence may be another person's intellectual wasteland. It seems to me that the political climate today is not the best within which to try to determine which of our schools of higher education are best and then rank them down from there.

We have all seen the President point at charts of increasing Federal money and then point at an accompanying chart of decreasing

SAT scores. At least, in his own mind, he immediately links the two.

Given that climate today, I would express my own concern that we be very careful, at least in trying to determine the indicators before we proceed, and it seems to me that those indicators should be discussed with the public, including the research community.

Dr. MORTIMER. Mr. Williams, I hope that the qualification got in first. We talked about an hour for it. The only indicator worth talking about is student outcomes. That is, what students learn.

Mr. WILLIAMS. Yes.

Dr. MORTIMER. Not what they are taught, but what they learn. When we started talking about things of that sort, that is the basis from which we would operate.

The danger is precisely as you pointed out. We said in our other reports and internal discussions that the three traditional ways we have talked about quality in higher education have done us ill. We have often talked about the quality of the inputs, and so we look at SAT scores. We say if an institution is selective, it must somehow be good. That is an old computer argument about garbage in-garbage out, that if you are successful in recruiting highly able students, you will graduate highly able students. The hope is you won't do anything in the meantime that does them serious damage.

One of the other indicators is reputation. You conduct a public opinion poll and you ask which institutions are good, and by golly, we must be good because everybody says we are.

The last one, of course, is some measure of expenditures in which you look at the size of the endowment, and I use in my comment, this ENG expenditures per student rationale, which again has nothing to say about the quality of the student performance.

Now, our whole thrust that we are talking about is that is where you start, is the quality of what students learn. That is the fair basis on which such questions should be asked.

Mr. WILLIAMS. Mr. Hayes.

Mr. HAYES. I have no questions.

Mr. WILLIAMS. Thank you. We appreciate very much the good testimony of this panel.

We will now go to our third and final panel, Hendrik Gideonse, Thomas Olson, and Michael Timpane.

Dr. Gideonse is the dean of the school of education, University of Cincinnati, here representing the American Association of Colleges of Teacher Education; Dr. Timpane is the president of Teachers College at Columbia, here representing the American Education Research Association; and Dr. Olson is the executive director of the North Central Regional Education Laboratory, here representing the Council for Educational Development and Research.

Let's go from your left to right.

STATEMENTS OF HENDRIK GIDEONSE, DEAN, SCHOOL OF EDUCATION, UNIVERSITY OF CINCINNATI, REPRESENTING THE AMERICAN ASSOCIATION OF COLLEGES OF TEACHER EDUCATION; MICHAEL TIMPANE, PRESIDENT, TEACHERS COLLEGE, COLUMBIA UNIVERSITY, REPRESENTING THE AMERICAN EDUCATION RESEARCH ASSOCIATION, AND THOMAS OLSON, EXECUTIVE DIRECTOR, NORTH CENTRAL REGIONAL EDUCATION LABORATORY, REPRESENTING THE COUNCIL FOR EDUCATIONAL DEVELOPMENT AND RESEARCH

Dr. GIDEONSE. Mr. Chairman, members of the subcommittee, almost exactly 15 years ago I testified on the proposed NIE before John Brademas. Since that time I have enjoyed both formal and informal relationships with NIE and, through responsibilities associated with various organizations over the years, I have had the opportunity to maintain a kind of continuing professional oversight of NIE's performance and circumstances.

From those vantage points I would characterize the past 15 years in five ways:

One, the quality of educational research has steadily improved.

Two, unfortunately, the advance in quality has been paralleled by a dramatic downturn in Federal support for the vital activities undertaken under NIE's auspices. The level of effort currently authorized for NIE stands at one-fifth that of 12 years ago.

Three, NIE and the educational research enterprise have been unable to avoid becoming periodically engaged in controversy, sometimes large, sometimes small, but controversy nonetheless.

Four, despite valiant efforts by a few, NIE has not fulfilled one important element of its original charge, the systematic study of the R&D support system for education.

And five, the last 10 years in educational R&D have been a period of rapid conceptual growth and maturation.

I want to cite two somewhat anecdotal but I believe quite persuasive pieces of evidence.

One is a decision taken last fall by the National Council for the Accreditation of Teacher Education. It recognized the significant developments in what we know about teaching, learning and effective schooling by decreeing that one of the five families of standards henceforth to be applied will require each of our institutions to demonstrate how we attend to the several knowledge bases that undergird professional practice.

The second piece of evidence is displayed in the progression of volumes in front of me. The smallest one is the first edition of the Handbook of Research on Teaching, edited by Nate Gage in 1963. The slightly fatter one next to it is the volume edited by Bob Travers in 1973. And this one, the biggest one of all, is the third edition of the Handbook of Research on Teaching edited by Merlin Wittrock and published only last month. These, by the way, are all three products of the American Educational Research Association.

The tale of the tape alone, as Howard Cosell might have said, speaks a message here. And so much for a teaching demonstration.

As the subcommittee undertakes its examination, these five circumstances should be kept firmly in mind: Steady improvement in quality, pitifully small resources, continuing controversy and insta-

bility, insufficient reflectiveness about what educational R&D is and can be, and very substantial progress toward undergirding the teaching profession with significant and sophisticated knowledge bases.

Within this context, AACTE wishes to address a relatively small number of broad principles and aims we believe you should keep in mind as you contemplate reauthorization of the NIE.

First, whatever structure emerges for a reauthorized NIE, it must clearly relate to its two prime constituent elements, practitioners and policymakers on the one hand, and the research communities on the other.

Think, Mr. Chairman, about Italian dressing for a bib lettuce salad. The ingredients of that dressing are oil, vinegar, and a delicate blend of spices. Any one of the constituent elements alone would make the salad unpalatable. All together, in just the right balance, you have a side dish that is an exquisite experience.

Balancing the two constituencies is NIE's most serious and abiding challenge.

NIE's senior policy advisory structure must have stability over time. It must relate directly to the major professional and organizational entities that comprise the educational establishment in America.

At the same time, however, that advisory structure should include the cream of the research communities in education.

Bringing the two constituencies together in serious and reflective dialog in support of the director's responsibilities would be one way of attending to the two constituencies requirement.

Second, neither the word, instruments, or the metaphor, balanced portfolio, is exactly right, but they will have to do.

The instruments through which NIE supports research, development, and related activities for education are request for proposals, unsolicited project research, the ERIC system, the National Assessment of Educational Progress, labs, centers, its own salaries and expenses, and so on.

Each of these instruments reflects existing or emergent policitical, organizational, and institutional realities of the educational and the educational research enterprises in America and should be retained.

There is one instrument that is missing, however. As the teaching profession increasingly finds itself with significant new understandings upon which to rest its practices, the role played by schools, colleges, and departments of education as midwives, as it were, to this more highly professionalized conception of teaching assumes ever greater importance.

Teacher education units, however, have enjoyed, relatively speaking, only the lowest levels of financial support within their own institutions. As a consequence, their activities are heavily committed to the teaching and related functions and much less to scholarship and research.

For some time to come, then, we are going to need help as we seek to engage our faculty more fully in the functions of inquiry and help them successfully incorporate new knowledge and research findings into the undergraduate and graduate professional education programs.

An action as simple as purchasing a single copy of this handbook for each education faculty member, for example, in my college cost nearly $4,000.

A 1-day retreat for my faculty in inquiry and the knowledge bases next month will cost over $700.

Releasing each of 10 faculty of one teaching assignment for a single quarter so that they might pursue scholarship cost $10,000.

Very few of us have those kinds of resources, and we need them.

We propose, therefore, that the reauthorization of NIE include grants to teacher preparation programs within institutions of higher education to strengthen their research capacity and to incorporate research findings into the curriculum.

The dean's grant model has been used successfully in the past to assist institutions preparing individuals to teach handicapped and limited English proficient children. We believe such a program would not cost much, either absolutely or relatively, but it would have major long-term beneficial consequences.

Third, insofar as it is possible through defined advisory structures, provisions for peer review and open competition, the authorizing legislation should seek to achieve the desired stability.

It is not just a question of avoiding temptations to follow narrow agendas or to reorganize or to abandon or alter standing commitments too easily. It should extend to the stability of the instruments by which NIE carries out its broad functions.

While much of the problem must clearly be laid at the feet of the downward slide of the relative worth of the appropriations, one of the serious blights on educational research policy of the past decade has been the negative effects of inadvertent competition among protagonists associated with one or another program function or instrument within the R&D portfolio.

True, nothing is or should be forever. When, however, for good and proper reason research instruments are created, legislative policy should seek to assure their stability and that future competition takes place within the boundaries of the instruments rather than between them. When the latter occurs, it undercuts the entire enterprise and the profession as a whole, and ultimately the client populations we serve are the ones who suffer.

Fourth, the consequence of the less than modest appropriation for educational research is that any decision is simultaneously right and wrong.

For each thing supported, there are 20 that are not, and the legitimate complaints and concerns of the didn't gets eventually compromise the entire enterprise.

When NIE is reauthorized, the resource concern must be addressed. Funding must be at levels appropriate to the importance of the mission with expansion proceeding slowly at first but inexorably.

Fifth, finally, the reauthorized NIE must be urged to increase its self-reflectiveness.

Federal efforts in support of educational research are now over 30 years old. Much has been accomplished and much has been tried. In the experience of the last three decades are many clues and much evidence suggesting how the enterprise ought to be governed, managed, and conducted. That experience needs to be thor-

oughly examined by NIE and the major practitioner, policy and research constituencies in education.

A stable agenda for the growth and development of educational R&D must be prepared that enjoys widespread support and commitment within the established organizations and agencies of the profession.

In closing, Mr. Chairman, what is especially important, it seems to me, is that you approach your deliberations with a conscious attempt to plant the seeds of a vision of what might be in the soil of the experience to date.

No major societal function in America is as undersupported, not just financially but conceptually and functionally, as the research enterprise supporting teaching, learning, and the Nation's educational institutions.

The problem is not what kind of institute to reauthorize. That is the solution.

The problem is to articulate a view that capitalizes on what we have learned in 30 years of Federal support for educational R&D, that stands on the real accomplishments and avoids the all too apparent pitfalls.

If you can work toward a vision that addresses these circumstances, yours will be a major contribution.

I would be pleased to answer any questions you may have.

Mr. WILLIAMS. Thank you very much.

[Prepared statement of Hendrik Gideonse follows:]

PREPARED STATEMENT OF HENDRIK D. GIDEONSE, PROFESSOR OF EDUCATION AND POLICY SCIENCE AND DEAN, COLLEGE OF EDUCATION, UNIVERSITY OF CINCINNATI, ON BEHALF OF THE AMERICAN ASSOCIATION OF COLLEGES FOR TEACHER EDUCATION

Mr. Chairman and members of the Subcommittee, I am pleased to have the opportunity to testify as you consider the reauthorization of the National Institute of Education. I am speaking this morning on behalf of the American Association of Colleges for Teacher Education (AACTE), the nation's oldest and largest such organization representing 720 colleges and universities who produce 90% of the nation's new teachers and administrators each year.

Our institutional settings are diverse. We include among our membership four-year liberal arts colleges, state colleges and universities, and comprehensive public and private research universities. But we share the belief that basic and applied research are essential components of the educational enterprise, and that research findings should be used to improve schools, teaching, and the preparation of education professionals. And as it turns out, our belief is matched by our capacity. Within our schools, colleges and departments of education resides a potential workforce for educational research and development of 10,000 individuals. Their scholarship and their commitment to basic and applied research in education dedicates them to helping children learn, to the continued improvement of our nation's schools, and to the enhancement of the capacity, achievement, and responsiveness of the teaching profession.

Almost exactly fifteen years ago, I testified on the proposed NIE before John Brademas. Since that time I have enjoyed both formal and informal relationships with NIE, and, through years, I have had the opportunity to maintain a kind of continuing professional oversight of NIE's performance and circumstances.

From those vantage points I would characterize the past fifteen years in five ways:

1. The quality of educational research has steadily improved.

2. Unfortunately, the advance in quality has been paralleled by a dramatic downturn in Federal support for the vital activities undertaken under NIE's auspices. The level of effort currently authorized for NIE stands at one-fifth that of but twelve years ago. The significance of that serious retrogression is underscored by the fact that Federal sources are for all intents and purposes the only ones now available for such activities.

3. NIE and the educational research enterprise have been unable to avoid becoming periodically engaged in controversy, sometimes large, sometimes small, but controversy nonetheless.

4. Despite valiant efforts by a few, NIE has not fulfilled one important element of its original charge, the systematic study of the R&D support system for education. One result of the lack of success in meeting this objective has been continuing uncertainty about the role or promise of educational research, fair amounts of apathy, and sometimes outright divisions among subsectors of the education profession who ought to be united behind a healthy and growing educational R&D function in support of our profession and its responsibilities.

5. NIE's first twelve years rest on the nearly twenty years of gradually increasing federal support for education research prior to NIE's establishment. Despite the problems, the last ten years have been a period of rapid conceptual growth and maturation. I want to cite two, somewhat anecdotal but I believe quite persuasive, pieces of evidence. One is a decision taken last fall by the accrediting body that evaluates teacher education. In the substantial revision of its standards, the National Council for the Accreditation of Teacher Education recognized the significant developments in what we know about teaching, learning, and effective schooling by decreeing that one of the five families of standards henceforth to be applied will require each of our institutions to demonstrate how we attend to the several knowledge bases that undergird professional practice. The second piece of evidence is displayed in the progression of volumes in front of me. The small one is the first edition of the "Handbook of Research on Teaching" edited by Nate Gage in 1963. The second edition, edited by Robert Travers in 1973, sits next to it. And this one, the biggest of all, is the third edition of the "Handbook of Research on Teaching" edited by Merlin Wittrock and published only last month. The tale of the tape alone, as Howard Cosell might have said, speaks a loud message here.

As the subcommittee undertakes its examination, these five circumstances should be kept firmly in mind—steady improvement in quality, pitifully small resources, continuing controversy and instability, insufficient reflectiveness about what educational R&D is and can be, and very substantial progress toward undergirding the teaching profession with significant and sophisticated knowledge bases. Within this context AACTE wishes to address a relatively small number of broad principles and aims we believe you should keep in mind as you contemplate reauthorization of the NIE.

TWO PRIME CONSTITUENCIES—PRACTITIONERS AND THE RESEARCH COMMUNITIES

Whatever stucture emerges for a reauthorized NIE, it must clearly relate to its two prime constituent elements, practitioners and policymakers, on the one hand, and the research communities on the other.

Talking about constituencies may be a less helpful metaphor. Think instead, Mr. Chairman, about Italian dressing for a bib lettuce salad. The ingredients of that dressing are oil, vinegar, and a delicate blend of spices. Using any one of the constituent elements alone would make the salad unpalatable. All together, in just the right balance, and a side dish becomes and exquisite experience.

Balancing the two constituencies is NIE's most serious and abiding challange. In reauthorizing NIE you should do what you can to define legislative policy for NIE structures that turns oil and vinegar into dressing. For example, NIE's senior policy advisory structure must have stability over time. It must relate directly to the major professional and organizational entities that comprise the educational establishment in America. At the same time, however, that advisory structure should include the cream of the research communities in education. Bringing the two constituencies together in serious and reflective dialogue in support of the Director's responsibilities would be one way of attending to the two constituencies requirement.

NIE must develop and hold the support of the major practitioner and policy groups in the education community. Furthermore, it must directly enlist those groups in the definition and development of its program initiatives. At the same time, the institute must be advised carefully by individuals whose deep involvement in developing lines of inquiry can assure that what NIE proposes to take on is, in fact, feasible and in tune with the state of knowledge at any given point in time.

What I have said so far speaks more toward the involvement of the practitioner and policy constituencies. The relationship to the research communities can be assured by writing into the reauthorizing legislation provisions which continue the practices of peer review and open competition within the major instrumentalities of the NIE R&D effort.

In sum, the two essential components of concern here are achieving active involvement and support of practitioner communities in defining research and development agendas for NIE and simultaneously safeguarding access to competent technical advice while preventing unwarranted political intrusion.

A BALANCED PORTFOLIO OF INSTRUMENTS FOR CONDUCTING R&D

Neither the word "instruments" or the metaphor "balanced portfolio" is exactly right, but they will have to do. The "instruments" through which NIE supports research, development, and related activities for education are: requests for proposals: unsolicited project research; the ERIC system; the National Assessment of Educational Progress; Labs; Centers; its own salaries and expenses; and so on. Each of these instruments responds to important understandings about our educational systems and research in support of them.

Requests for proposals signify priorities identified at the Federal level and a commitment to serve those priorities through research targeted to those ends.

Unsolicited project research recognizes that individual researchers are the locus of ideas and initiatives that keep lines of inquiry and developing understanding alive and healthy.

The ERIC system constitutes a stable repository of research and related activities as a central archive for all later development.

The National Assessment of Educational Progress keeps the benchmarks on how the educational system of the nation is performing.

Educational laboratories link the functionally differentiated and geographically separate agencies of education in the context of educational research and development. They are essential instruments for delivering the benefits of research and identifying R&D needs in the major regions of the country.

Research and development centers were created in response to the recognition that, while project research is important, other benefits can be achieved by bringing together a critical mass of research talent around a problem focus and undertaking sustained and evolving inquiry relative to that focus.

The salaries and expenses of the institute drive the whole. They provide opportunities for a certain amount of in-house research. Through the expected service provisions it is possible for researchers themselves to be brought to work at the institute independently of civil service provisions that would otherwise function as serious restrictions.

Each of these instruments reflects existing or emergent circumstances of the political, organizational, and institutional realities of the educational and the educational research enterprises in America.

There is one that is missing, however. It needs to be added. Its absence is closely associated with the small amount of financial support for education research. Even if the resource doubled or tripled, for some time to come this new instrument will be of vital importance.

The institutions AACTE represents here today train, year in and year out, 90% of the nation's new teachers and administrators. As the teaching profession increasingly finds itself with significant new understandings on which to rest its practices, the role played by schools, colleges, and departments of education as midwives, as it were, to this more highly professionalized conception of teaching assumes ever greater importance. For reasons with which we are all too familiar, teacher education units have enjoyed, relatively speaking, only the lowest levels of financial support within their own institutions. As a consequence their activities are heavily committed to the teaching and related functions and much less to scholarship and research. For some time to come, then, we are going to need help as we seek to help them successfully incorporate new knowledge and research findings into the undergraduate and graduate professional educational programs. An action as simple as purchasing a single copy of the new Handbook for each education faculty member, for example cost my college nearly $4000. A one day retreat for my faculty on inquiry and the knowledge bases next month will cost over $700. Releasing each of ten faculty of one teaching assignment for a single quarter so that they might pursue scholarship costs $10,000. Very few of us have those kinds of resources, and we need them.

We propose, therefore, that the reauthorization of NIE include grants to teacher preparation programs within institutions of higher education to strengthen their research capacity and to incorporate research findings into the curriculum. The "deans grant" model has been used successfully in the past to assist institutions preparing individuals to teach handicapped and limited English proficient children. We believe such a program should be stimulative in nature, the teacher education unit

using the resources to further its connection and commitment to educational research and related activities. The program would not cost much, either absolutely or relatively, but it would have major, longterm beneficial consequences for the schools and the profession.

ADMINISTRATIVE AND POLICY STABILITY

Every effort must be expended to achieve administrative and policy stability for the NIE.

It is well known that all behavioral and social inquiry is inherently associated with human values and attitudes. Because it is so, however, does not mean that narrow political or partisan objectives can be freely applied in the administration of the public research agenda. From time to time over the the life of the Federal research effort, temptation here has not been resisted. Insofar as it is possible, however, through defined advisory structures, provisions for peer review, and open competition, the authorizing legislation should seek to achieve the desired stability.

It is not just a question of avoiding temptations to follow narrow agendas, or to reorganize, or to abandon or to alter standing commitments too easily. It should extend to the stability of the instruments by which NIE carries out its broad functions. While much of the problem must clearly be laid at the feet of the downward slide of the relative worth of the appropriations, one of the serious blights on educational reearch policy of the past decade has been the negative effects of inadvertent competition among protagonists associated with one or another program function of instrument within the R&D portfolio. True, nothing is or should be forever. When, however, for good and proper reason, research instruments are created, legislative policy should seek to assure their stability and that future competition takes place within the boundaries of the instruments rather than between them. When the latter occurs, it undercuts the entire enterprise, and the profession as a whole, and ultimately the client populations we serve, are the ones who suffer.

RESOURCES

The principle I speak to next is, perhaps, the most cloying of all for me. For nearly a quarter of a century, now, I and others like me have addressed and repeatedly shaken our heads in dismay and frustration over the paucity of financial resources for educational research.

There are 65 million children, youth, and adults who are students in our nation's public and private elementary, secondary, and postsecondary education institutions. The NIE appropriation this year amounts to less than a dollar a head! By contrast the Federal appropriation for medical reserch amounts to $22 for each woman, man, and child in America, all 230 million of them. Is knowing for education really seventy five times less important than knowing for health? I doubt it.

The consequence of the less than modest appropriation for educational research is that any decision is simultaneously right and wrong. For each thing supported, there are twenty that are not, and the legitimate complaints and concerns of the "didn't gets" eventually compromise the entire enterprise. When NIE is reauthorized, the resource concern must be addressed. Funding must be at levels appropriate to the importance of the mission with expansion proceeding slowly, at first, but inexorably. Human lives are no less at stake here than they are in medicine. The time is long overdue for the expansion that must ultimately occur. The production of knowledge and its systematic application through development and appropriate policy formation are the engines of ongoing reform and improvement. The current level of support for both research and activities of application is pitifully small. Every effort must be expended responsibly to increase appropriations.

INCREASING THE CAPACITY FOR SELF-REFLECTION

Finally, the reauthorized NIE must be urged to increase its self-reflectiveness and, indeed, because of NIE's heightened awareness, the elevation of that of all the several components of the education system respecting its supporting R&D enterprise. Federal efforts in support of educational research are now over thirty years old. Much has been accomplished, and much has been tried. In the experience of the last three decades are many clues and much evidence suggesting how the enterprise ought to be governed, managed, and conducted. That experience needs to be thoroughly examined by NIE and the major practitioner policy, and research constituencies in education. A stable agenda for the growth and development of educational R&D must be prepared that enjoys widespread support and commitment within the established organizations and agencies of the profession. Accomplishing that end

will not be easy nor can it be done quickly, but NIE ought to be pointed by the Congress in that direction. With such an agenda, in succeeding years, as this and other subcommittees hold their hearings, benchmarks of progress will be defined, and, as they are reached, their accomplishment noted, recorded, and rewarded.

When Congress created the National Institute of Education in 1973 it provided a first year appropriation of over $100 million. In effect, the action said that educational research and development is important and that there is validity in searching for knowledge on how children and adults learn, how teaching influenced learning, how schools function, and how previous research findings can be translated into products and techniques that can be used by teachers. Congress gave NIE a broad mandate. It said the Institute should be both a focal point of all educational research and development efforts found by the federal government, and that it should systematize and coordinate R&D activities throughout the country. We believe that this mandate still reflects an appropriate federal role in the educational research enterprise. We also believe that the 1973 funding level is almost enough to begin to do the job at hand, and would point out, once again, that $100 million in 1973, adjusted for inflation, is equivalent to over a quarter billion of today's dollars.

In closing, Mr. Chairman, I would like to congratulate you and the committee for holding these hearings, and for giving us this important forum to share our ideas and thoughts with you and your colleagues. What is especially important, it seems to me, is that you approach your deliberations with a conscious attempt to plant the seeds of vision of what might be soil of the experience to date. No major societal function is as under-supported, not just financially but conceptually and functionally, as the research enterprise supporting teaching, learning, and the nation's educational institutions. The problem is not what kind of institute to reauthorize. That is the solution. The problem is to articulate a view that capitalizes on what we have learned in thirty years of Federal support for educational R&D, that stands on the real accomplishments and avoids the all-too-apparent pitfalls. If you can work toward a vision that addresses these circumstances yours will be a major contribution. I would be pleased to answer any questions you may have.

Mr. WILLIAMS. Dr. Timpane.

Dr. TIMPANE. Mr. Chairman, Mr. Bartlett, Mr. Hayes, it is a pleasure to be here representing the American Educational Research Association.

I was testifying before this subcommittee 6 years ago on this same topic in my capacity then as the director of the National Institute of Education, and while I must bow to Dr. Gideonse in the length and depth of his experience, I have some background in it as well.

My testimony has been furnished to you, and I will not repeat it but will just make five informal points which are based upon the testimony and based upon our rather hurried reading of the administration's bill, which we have not had a chance to analyze fully yet.

First, I would simply like to reinforce the points that have been made about the accomplishments of educational research in the last 10 or 15 years, the important extent to which the National Institute of Education can rightly take pride in them.

I will mention six areas very quickly, six very practical areas.

First is in early reading. I think it is a quite clear concensus of the educational community that the research importantly spearheaded by NIE in early reading has contributed dramatically to the kinds of advances we see in young people's ability to read in the first three grades, a deliberate initiative of NIE.

Second is in school effectiveness research, which is clearly reflected in the kinds of reforms that the States are now instituting in school improvement strategies, a line of research that was begun at NIE.

Third, school finance. The modern scholarship and school finance was, at least half of it, originated by NIE, the other half by the Ford Foundation, and led importantly to the entire school finance equalization efforts in most States in the last 10 or 15 years.

Fourth, teacher effectiveness, which is likewise being used importantly by the States in their reforms of the structure of the profession in such programs as master teacher programs, career ladders, and so on.

Fifth, the Federal compensatory education program. The congressionally mandated evaluation of then Title I conducted in the last 1970's removed the clouds from that program and established it as an effective and ongoing component of the Federal education effort.

And finally, similarly, the congressionally mandated study in vocational education had the same impact in shaping the Congress' thinking in the development of the Carl Perkins Vocational Education Act.

These are substantial, practical accomplishments of the Agency in the last 10 or 15 years.

Second, with respect to the reorganization I would simply say that it seems to us to be a sensible reorganization and to be working rather well. It resembles very much what I and many other people concerned with the educational research function believe should have been the original organization of the research function when the Department of Education was created in 1979.

This organization, among other things, gives educational research its proper status at the assistant secretarial level within the Department, which in my judgment it should have had all along, and it creates important links of research with improvement practices and with policy reforms.

Third, one of NIE's great strengths has always been the breadth of its charter. I believe, in a quick review of the administration's proposal, that it retains that broad charter to help, through research, to bring equal opportunity for all students to have access to a quality education.

That is a noble charter which has guided NIE from the beginning. I was gratified to see it continued in the Department's proposed bill. I would trust that it would be at the very basis of what the committee will consider, as well.

Fourth is the question of the needed autonomy of the research function. And here we have some difference with what I believe the administration proposes.

The administration proposes, among other things, to give the Secretary the direct grantmaking and hiring authority, which has previously been the authority of the director of the National Institute of Education.

We intend no commentary on the manner in which the incumbents now are or even intend to use the authority they have had. But over time the research function needs protection from the policy and the political pressures of any administration and of any set of Federal programs. This is the common experience of NSF, of National Institutes of Health, and of any number of other Federal research agencies.

It seems to me that the committee should consider carefully whether or not this even more fragile enterprise does not continue

to require the kind of autonomy that was provided in the original law, so that it can carry out its charter to research on national problems and not to worry at some future time about being subverted to a narrower Federal program agenda.

And finally, I would speak briefly about the matter of balance, which my colleague, Hendrik Gideonse, also spoke about.

Here I would simply like to—and again, I think this will reflect on some of the steeply declining graphs which you saw recently—and I would simply like to suggest that at the present moment the level of appropriations leaves the legitimate constituencies of educational research fighting over scraps.

There is no way to conduct a respectable and popular research agenda with the vastly diminishing level of resources.

You will, as Hendrik pointed out, make 20 enemies for every 1 friend you made. And as Dr. Chelimsky points out, you will have the effect of concentrating the resources of the agency in certain types of research, such as those of Dr. Olson and indeed myself are involved in, more or less inadvertently, simply because of the decline in arithmetic and the sense of the reality of ongoing obligations.

If there were somewhat more funds as proposed in the administration's budget this year, you might have a real research management issue. You would be able to talk about what a balanced portfolio means and to begin to execute it.

Such a concept is almost beyond any kind of political or bureaucratic reality at the current level of resources.

So that the balanced portfolio issue is extremely important and must be included in the authorization of the agency, but it requires reasonable levels of resources to execute it.

Thank you very much.

Mr. WILLIAMS. Thank you.

[Prepared statement of P. Michael Timpane follows:]

PREPARED STATEMENT OF P. MICHAEL TIMPANE, PRESIDENT, TEACHERS COLLEGE, COLUMBIA UNIVERSITY

Mr. Chairman and Members of the Subcommittee, I am Michael Timpane, President of Teachers College, Columbia University. I am pleased to be here today to present testimony on behalf of the American Educational Research Association on the reauthorization of the research functions of the Department of Education. Thank you for this opportunity to share our views with you on this most important federal responsibility, improving the quality of education through research, development, and dissemination activities.

Last spring, then-president of AERA, Professor Lee Shulman of Stanford University appeared before the subcommittee to present testimony in support of the reauthorization of the National Institute of Education. As you know, Secretary of Education Bennett has taken action since then to reorganize the programs and activities of the Office of Educational Research and Improvement. Under the Secretary's plan, NIE has ceased to exist as a distinct unit.

Recently, the Department has indicated that it will propose a bill to reauthorize the research functions described in Section 405 of the General Education Provisions Act to reflect the Secretary's reorganization. Today, I would like to comment on the Department's reorganization plan and their reauthorization proposal.

Before I discuss reorganization, I want to make a few observations about educational research's progress and prospects. Educational research has made great strides in the past dozen years, progress due in no small measure to the leadership of the federal government, especially NIE. In his testimony last spring, Professor Shulman cited numerous examples of advances in educational research including new strategies and methodologies for the study of education, the accumulation of

knowledge in key areas of study, and the ability to put research to effective use. He showed how many of these developments occurred with the direct involvement and support of NIE.

Since NIE was created in 1972, Congress has supported the concept of improving education through research but has often seemed skeptical about the possible results. Their ambivalence toward educational research is evident in NIE's funding history. The early trials and tribulations of the agency need not be repeated here. NIE never realized its ambition to become an agency which might, like the National Science Foundation and National Institute of Health, have sufficient resources to undertake a sustained and comprehensive research program addressing all of the principle issues of education in our society. Still, the agency successfully managed its meager resource to develop productive lines of research in several areas, including studies on the acquisition of reading, writing, and mathematics skills; testing and assessment; teaching and classroom management; and school finance and improvement of governance and school effectiveness. In addition, the agency successfully completed Congressionally mandated studies of compensatory education, violence in the schools, and vocational education. It also redesigned and improved the National Assessment of Educational Progress.

It is clear that educational research can produce answers and is ready to assume a necessary and more prominent role in the future progress of education. The many impressive national and state reports on educational reform and improvement of the past three years rely extensively upon the information, knowledge, and perspective gained through research. At last year's hearings, the subcommittee heard testimony from witnesses representing state legislatures, state and local education officials, and classroom teachers on the need to protect and preserve the federal role in the conduct and support of educational research. It is time to put NIE's troubled history behind us to consider ways the research functions might be strengthened and improved.

REORGANIZATION

From this perspective, the Administration's reorganization should be judged by whether its new alignment and structuring of activities will improve the effectiveness and impact of the research functions. AERA has endorsed the broad outlines of the Secretary's reorganization and feels that it represents a substantial improvement over the previous structure. The legislative history of OERI makes it clear that Congress intended its original structure to be only temporary. AERA believes the structure put into place when the Department was created was flawed. Research is a central component of the Federal role in education and yet the leadership of the research functions was submerged beneath the assistant secretary level attained by all of the other principle functions of the Department. Research should enjoy at least the same autonomy and authority as the other operating units of the Department; indeed, it needs some special protection for the short-range operational demands of other offices in the department. We believe that the direction of educational research should be lodged at the assistant secretary level as called for by the Administration's reorganization.

Secretary Bennett's reorganization plan resolves this problem and several other administrative and management conflicts within OERI as well. OERI previously housed three presidential appointees, three planning operations, and a separate contracts and grants office. Reorganization eliminated several layers of bureaucracy and provided a more logical, better integrated, and potentially more efficient operation than the one that had been in place. The Secretary has established five program units: Office of Research, Center for Statistics, Programs for the Improvement of Practice, Informations Services, and Library Programs. We believe that the new alignment of activities and programs will enhance public accountability along appropriate lines of activity. Distinguishing the status of improvement and dissemination activities by creating separate units respectively, should provide a sharper focus for those activities, and help protect the Office of Research from short run political demands and other pressures for immediately useful products and solutions.

One of the particular issues that has been raised in connection with the reorganization is whether or not it is sensible to place the regional laboratories and the research and development centers in different organizational units within OERI.

In AERA's opinion, the arrangement raises no serious problems and has much to commend it. With respect to the laboratories, for example, their presence in Programs for the Improvement of Practice with other programs such as the National Diffusion Network would form a unit that would have a stronger ability to relate

and develop ties with the field. The applied research, development, and technical assistance capacity of the laboratories become more clearly and obviously associated with the education improvement function. Thus the mission of the laboratories would be more easily identified and defined, and they would be held more appropriately accountable for the quality of their service to the field. In fact, the manner in which the laboratories were managed within NIE prefigured such an arrangement: most of the activities related to the laboratories has been assigned to a single division, Dissemination and the Improvement of Practice.

Similar benefits would flow from the location of the centers with other research activities, since a sense of shared mission and common purpose would ensue. The alleged danger that the center might become too remote and esoteric in their concerns and interests does not seem substantial to us. The new centers have, as a requirement of their recent awards, strong advisory committees representing education professionals and the public, substantial provisions for linkage and collaboration among the center and laboratories, and extensive dissemination programs. Thus, the centers will have missions clearly related to research that advances the practice of education, while their work within the Office of Research will be held to the high standards that should govern research and disciplined inquiry.

AERA believes that both in general and with the specific respect to the administrative provisions for various activities, the Department's reorganization of the research and statistics functions is appropriate.

REAUTHORIZATION

We have not had adequate opportunity to review the Administration's reauthorization bill, the Education Research Amendments of 1986, but we can make general comments on its provisions. The bill does not radically alter Sections 405 and 406 of GEPA. So I will use those existing provisions as a frame of reference for our analysis.

Section 405(a)

We find the concepts stated in describing NIE's mission and mandate to a compelling statement of federal policy, particularly the declaration that it is the policy of the United States to provide every person an equal education of high quality. The Department does not, we understand, propose changes in the goals, priorities, or processes by which educational research shall contribute to this goal. We support such a reaffirmation of basic purposes.

Section 405(b)(1)

As noted earlier, AERA has endorsed the broad outlines of the Secretary's reorganization plan. This subsection of the Administration's bill reflects those changes, including the administration of OERI by the Assistant Secretary for Educational Research and Improvement. It would be useful to include in this subsection a description of the new structure to make the lines of authority distinct.

Section 405(b)(2)

The Department changed the provisions of the subsection to clarify and expand the research priorities. The list is quite extensive. We suggest the following additional change: the Secretary should establish, in consultation with researchers, educators, and the general public, funding priorities for each year and should publish the priorities in the Federal Register for public review and comment before final notice of funding priorities is issued. We believe that the participation of educators and researchers in setting the research agenda will help strengthen the ties between educational reform and improvement on the one hand, and educational research and development on the other.

Section 405(c)

The changes in this subsection involve limiting the National Council on Educational Research to an Advisory Council on Educational Research and Improvement would be established. The existing provisions governing membership on the Council are retained.

We support the changes the Department has made. The Councils broad representation is consistent with an advisory role. We suggest an additional provision that nominations for Council members be solicited through a notice in the Federal Register.

Section 405(d)

The provisions of this section concern the appointment of the Assistant Secretary of OERI. Consistent with our earlier comments, AERA recommends that this subsection provide for the administration of OERI by the Assistant Secretary. The appointment shall be made by the President, by and with the advice and consent of the Senate. The Assistant Secretary should perform the duties and exercise the powers and authorities as vested in OERI. The Assistant Secretary should be responsible to the Secretary.

Section 405(e)

The various provisions of this subsection establish the authority of the Secretary to carry out the research function in manner that preserves and protects its independence and integrity. We cannot comment on the Administration's changes without reviewing the specific language, but in general we support the principles in existing legislation. They provide both a general reaffirmation of the capacity to carry out a research program as well as specific authority to make grants, enter into contracts and cooperative agreements, carry on technical assistance and dissemination, establish research fellowships, and appoint a number of highly qualified researchers and scholars to "excepted service." These authorities are essential to the successful conduct of a Federal research agency.

With particular respect to Section 405(e)(5), providing for the excepted service authority, we would emphasize the sole purpose of this authority to attract highly qualified researchers and professionals to work at the agency for limited terms. The Congress intended that the expected hiring authority be used that research management positions in the agency were filled by top-notch personnel. We believe the provisions of this subsection should be strengthened to ensure that the expected service authority is not abused. Specifically, the authority should not be used to install political appointees in technical or professional positions.

Section 405(f)

Section 405(f) contains a set of requirements and procedures to ensure continued support for regional laboratories and research and development centers. AERA supports the concept of institutional commitments to laboratories and centers, but feels very strongly that equally important is a commitment to individual efforts to carry out field-initiated studies. AERA believes that the federal investment in educational research and development should reflect a balanced porfolio. The federal government should provide for long-term institutional support, and for field-initiated studies by individual researchers.

The existing requirements of this subsection have led to a disturbing trend over the past five years. As the budgets for educational research have declined, institutional program awards have taken up an increasing share of the modest funds available. Over 90% of the budget for fiscal year 1986 supports institutional programs; grant competitions for field-initiated studies by individual researchers have been virtually eliminated. This situation arose because field-initiated studies do not have the safeguards provided laboratories and centers under current law. Rather than eliminate these provisions, AERA proposes an expansion of the subsection to ensure that in carrying out the research functions, the Department shall make grants and enter into contracts with individuals for research as well as provide support for laboratories and centers. Such language is necessary to ensure continuing a balance in the types of research activities supported by OERI.

The Administration's bill includes provisions requiring peer review in the allocation of awards. We commend the action and suggest the additional requirement that new awards be subject to open competition. We would also stress that the efficacy of the peer review process hinges on the definition of a peer. We urge the Subcommittee to include language that will ensure that a peer means individuals are eminently qualified to serve as reviewers by virtue of their academic credentials, research and scholarship, or professional experience and prominence in the education field.

Section 405 (g thru h)

AERA takes no position on the provisions of these subsections.

Section 405(j)

AERA realizes the federal budget deficit has made Congress extremely sensitive to authorization levels. We have struggled with the question of what is a responsible authorization level for the research and statistics functions. We feel compelled to recommend authorization levels consistent with what we believe to be the level of effort needed to produce a minimally complete research program addressing the

major issues facing American education today. Thus, using the combined authorization levels FY 1987, and increases of $10 million in each succeeding year.

Sections 405(k) and 406

AERA supports the changes the Department has made in the National Assessment of Educational Progress and the statistics functions to reflect the Secretary's reorganization. We understand the Administration's bill includes several technical amendments related to NAEP and the operation of the Center for Statistics. We need to review the specific provisions before making comment.

In conclusion, we think the Administration's bill has considerable merit. The bill's provisions are generally consistent with the principles AERA has advanced in reviewing reorganization and reauthorization proposals for research and statistics. Our principles can be summarized in four statements:

Maintain the broad authority for research as expressed in Section 405 of GEPA.

Preserve and protect the independence and integrity of the research functions.

Maintain a balanced porfolio of research and development activities.

Link educational research and development to educational reform and improvement efforts.

A proposal consistent with the criteria suggested by the principles would broaden the constituencey for educational research and development, increase the effectiveness and impact of research and development activities, assure more integrated and coordinated program efforts, and achieve a desirable balance in the kinds of research and development activities supported by the Department. The over 14,000 members of AERA are dedicated to the strengthening and improvement of education research as a necessary underpinning for the long-run reform and continued progress of American education. We look forward to working with you and Members of the Subcommittee toward that end.

Mr. WILLIAMS. Dr. Olson.

Dr. OLSON. Mr. Chairman, Mr. Bartlett, Mr. Hayes, we have a prepared statement for the record, which I hope the subcommittee will accept. I would like to proceed with some brief summary statements based on that.

Mr. WILLIAMS. Please.

Dr. OLSON. I am here today representing my own association, the Council for Educational Development and Research, which is an association consisting of regional educational laboratories and university-based research centers, but also representing today the American Association of School Administrators, the National Association of Federal Education Program Administrators, the National Education Association, and the National PTA.

These latter groups have a common interest. They are representative of the school communities that the labs and centers were designed to serve and are serving.

So, I am here this morning to talk with this committee as a person who really has a foot in both the research community and the school practitioner community, and really that is the mission of the regional educational laboratories, to bridge the gap between research and practice.

I run a regional educational laboratory, the one that serves the educational needs of Iowa and the Great Lakes States of Wisconsin, Minnesota, Mr. Hayes' State of Illinois, Michigan, Indiana, and Ohio.

My laboratory is governed, as all laboratories are, by a very broadly representative board of directors. My board, for instance, includes every chief State school officer in my region, school administrators, business and labor representatives, parent representatives, teacher union representatives and university deans.

With the help of more than 10 different practitioner advisory groups, they determine the work that my laboratory does with

OERI support. That is the unique feature of regional laboratories. They do educational research and development along with technical assistance and dissemination in support of priorities established by the school people they serve in their region.

This unique field-driven characteristic of laboratories has been part of their heritage going back to their beginning in 1966. Under current law, labs and their sister institutions, the university-based research centers, are privileged to have a special relationship with the Office of Educational Research and Improvement.

That existence now has resulted, as several have mentioned, from a very stiff competition, and we represent a number of the winners in that stiff competition. We enjoy our special relationship because of a provision in the General Education Provisions Act, Section 405, the bill that currently authorizes the National Institute of Education.

That provision states, in part, that the department will solicit proposals from laboratories and centers and that the labs and centers will develop these proposals "in consultation with the Department."

These two key phrases do not show up in the department's proposed Educational Research Amendments of 1986, and without them the labs and centers become little more than a collection of institutions that become beholden to the whims and political motivations of the Department in return for their funding.

Stated another way, as the Department's proposal does, my board of directors will now only provide guidance to the laboratory, or stated still another way, they will no longer direct our laboratory.

If the administration's bill goes into effect, the laboratory will conduct work that is "consistent with the purposes and priorities of the Office of Educational Research and Improvement."

What the bill doesn't say is what happens when my board's guidance doesn't fit neatly into the current priorities of the Office of Education Research and Improvement. I think I know what happens. My board will be told to seek its funding elsewhere.

Mr. Chairman and members of the committee, my colleagues and I strongly support the need for a federally funded education research and development, but we worry that the Department's proposal creates more problems than it resolves.

While it authorizes research and development, it also gives the OERI Assistant Secretary tremendous and virtually exclusive power over determining the Department's research and data gathering activities.

We believe this is dangerous. We believe educational research and data gathering have to be independent, as does Dr. Timpane, of the policysetting agenda of whatever administration is in power.

In our testimony we make the following four points:

One, the proposed amendments establish a Federal research czar. As such, that official has the authority to design, collect, analyze and explain federally funded educational research and statistics in support of the administration's political or ideological agenda.

Second, the proposed amendments could block the education research community, particularly its labs and centers, from conduct-

ing research and development programs that might differ from those of the Department.

Third, the proposed amendments strip the Department's research and statistics offices of their independence and reorganize them into an advocacy and propaganda unit for the Secretary.

Finally, we make the point that Congress, to ensure at least some balance in OERI's perspective, must maintain the autonomy of university-based centers, regional educational laboratories, and individual researchers to meet needs defined in the field, not in the Secretary's or Assistant Secretary's office.

We go on to make the following concluding statements in our prepared testimony.

We urge the subcommittee to reauthorize the General Education Provisions Act, sections 405 and 406. We believe the Department's proposal should be disregarded.

The Department's alternative proposal is designed primarily to obtain congressional approval of an earlier reorganization effort.

Two, if the subcommittee is unable to reauthorize GEPA 405 and 406 this year, we urge Chairman Williams, as a conferee on the higher education bill, to accept the Senate's higher education amendment, Title 3, Higher Education Act, that reauthorizes the labs and centers.

These 20 institutions are presently in the first year of their recently won 5-year awards. Nothing should be allowed to interfere with these negotiated and approved scopes of work.

Third, if the subcommittee is able to reauthorize GEPA 405 this year, we urge it to create in legislation an honest, unsolicited grants program. By that we mean a program that encourages proposals that may or may not address the Department's current priorities. And make it a separate category so that the Department has to propose line-item funding for it annually.

Fourth, the current OERI structure includes ERIC clearinghouses and the national diffusion network. Neither the current law nor the Department's proposal makes mention of either. Both should be included if the subcommittee is able to reauthorize GEPA 405.

And finally, both the Department's amendments and the current law make mention of the need to provide every person an equal opportunity to receive an education of high quality.

However, the current law says, "inequalities of opportunity to receive a high-quality education remain pronounced."

The Department's amendments drop this statement. We wouldn't. It still applies.

Thank you very much.

[Prepared statement of Thomas A. Olson follows:]

PREPARED STATEMENT OF THOMAS A. OLSON, EXECUTIVE DIRECTOR, NORTH CENTRAL REGIONAL EDUCATIONAL LABORATORY, ELMHURST, IL, ON BEHALF OF THE AMERICAN ASSOCIATION OF SCHOOL ADMINISTRATORS, COUNCIL FOR EDUCATIONAL DEVELOPMENT AND RESEARCH, NATIONAL ASSOCIATION OF FEDERAL EDUCATION PROGRAM ADMINISTRATORS, NATIONAL EDUCATION ASSOCIATION, THE NATIONAL PTA

INTRODUCTION

The school administrators, educational researchers, classroom teachers, and PTA members represented by our associations wish to open their statement by thanking

Chairman Williams and his staff for holding this hearing to consider the reauthorization of educational research and improvement.

Last year our association came before the subcommittee in support of the reauthorization of the National Institutes of Education [NIE]. While we were debating the pros and cons of various legislative changes in NIE's structure, the Department eliminated the agency. The functions of NIE's and the National Center for Educational Statistics were reorganized into the larger Office of Educational Research and Improvement [OERI]. With that reorganization in place, the Department led us to believe that it didn't need or intend to seek any reauthorization of a now-outmoded General Education Provisions Act [GEPA].

But then the U.S. Senate's Labor and Human Resources Subcommittee on Education, Arts, and Humanities attached to the Higher Education Act an amendment that would reauthorize that portion of GEPA dealing with the regional educational laboratories and university-based research centers (Section 405f). The Senate subcommittee thought it necessary to reauthorize the labs and centers to ensure the continuation of their special relationship with the Department.

The Department made no secret of its dislike for the Senate action. Nor has the Department hidden the fact that its recently unveiled "Educational Research Amendments of 1986" is designed to replace the Senate subcommittee's authorizing language.

And that's about all it's intended to do. The Department's own analysis of its proposed legislation says that it "reflects the Secretary's recent reorganization of the Office of Education Research and Improvement" and "eliminates unnecessary, obscure, or awkward language, as well as organizational provisions made obsolete or inappropriate by virtue of the Secretary's reorganization."

Nevertheless, we appreciate being asked to appear this morning. We are prepared to address the Department's bill, even though we know full well that we are commenting on many "proposed" changes that, in fact, have already been made. At the least, the Department's bill gives us an opportunity to comment on these changes and to air publicly our concerns about them.

This hearing also gives us an opportunity to address the need to retain authorization authority for the laboratories and centers. While uncertain about the fate of the Department's bill, we believe that some form of legislation affecting the autonomy of these institutions should work its way through Congress this year.

In our testimony this morning we will make the following four points:

1. The proposed amendments establish a "federal research czar." As such, that official has the authority to design, collect, analyze, and explain federally funded educational research and statistics in support of the administration's political or ideological agenda;

2. The proposed amendments could block the educational research community—particularly its laboratories and centers—from conducting research and development programs that differ from those orchestrated by the Department;

3. The proposed amendments strip the Department's research and statistics offices of their independence and reorganize them into an advocacy/propaganda unit for the Secretary; and

4. Congress, to ensure at least some balance in OERI's perspective, must maintain the autonomy of university-based centers, regional laboratories, and individual researchers. That is, the Congress must ensure that the research and school communities have the opportunity to propose and conduct educational research and development programs independent of the Department's agenda.

Our allegations, while harsh, reflect our deep concerns about the research and statistics-gathering functions of the recently reorganized Office of Educational Research and Improvement. Both functions are critical. Both are best conducted by the Federal government. Both must be free of ideological bias. Neither should be employed to further a political agenda.

DEPARTMENT'S BILL REMOVES CHECKS AND BALANCES

Rarely do we run across presidential appointments who don't chafe under legislative constraints that govern their behavior. Most assume office and set out to right wrong, establish new priorities, and generally change what's gone on before. Such behavior has long characterized the officials who have moved in and out of the job overseeing the Department of Education's research office.

But each in turn has operated within the guidelines contained in the General Education Provisions Act's section 405 and 406 pertaining to the National Institute of Education [NIE] and the National Center for Educational Statistics [NCES]. These pieces of legislation contain a series of checks and balances that prevent polit-

ical appointees from missing statistics and research in the pursuit of their partisan goals.

The recent reorganization of the Office of Educational Research and Improvement enabled the department to wiggle out from under these congressionally mandated checks and balances. Now the Department's proposed "Educational Research Amendments of 1986" seeks congressional approval of this maneuver.

The current law has a National Council on Educational Research [NCER]. This presidentially appointed body was intended to serve as a check on the authority of the NIE director as well as a balance in the distribution of power among the director, the assistant secretary over the director, and the secretary. That is, the NCER set policy for NIE, but didn't have the authority to hire and maintain a staff independent of NIE; to submit an annual report to the President commenting on the activities of the NIE director and issuing whatever recommendations the NCER felt appropriate; and to submit a similar report to the U.S. Congress.

The Department's bill strips the NCER of all its authority. Moreover, its staff is now hired and retained by the assistant secretary. And rather than being required to report to Congress and the President, the Department's bill would only require NCER to ". . . prepare such reports as it may wish to submit to the Secretary (not the Congress nor the President) on the activities of OERI."

Not one to take any chances, the proposed legislation even goes so far as to make the OERI assistant secretary an actual voting member of his own advisory group.

As proposed, the NCER would no longer serve any purpose. And that appears to be just what the Department wants.

The National Center for Education Statistics has an Advisory Council with oversight responsibilities. The Department's proposed amendments would significantly erode these responsibilities. For example, current law says that the Council ". . . shall review general policies for the operation of NCES . . ." The Department's bill strikes that requirement.

The current law says the OERI assistant secretary shall submit a report to Congress that "includes recommendations of the Council with respect to the most effective manner in which the Nation and the Federal Government may address such (need for qualified educational personnel in local agencies)." The Department's bill wouldn't require the assistant secretary to concern either himself or Congress with the advisory council's recommendations.

In fact, the Department's bill wouldn't require the OERI assistant secretary to continue informing Congress about NCES' current practices and projected activities.

PROPOSED BILL GUTS LAB-CENTER PROVISION

Since 1976 the regional laboratories and university-based centers have had a special relationship with the agency that funds educational research and development. The relationship has one basic characteristic: it ensures the autonomy of these institutions' research and development work.

The laboratories are governed by boards of directors made up of state and local educators and laypersons from within their respective regions. These independent boards ensure that the proposals sent to OERI for funding reflect the needs of their parts of the country.

The centers consist of university-based researchers. They propose an integrated research agenda to OERI based on their assessment of a given problem area and the university's approach to solving it.

In a nutshell, the labs and centers historically have been allowed to propose their own scopes of work for funding consideration. They are not captive institutions. They don't exist solely to do the Department's bidding. At least they didn't in the past. The Department's proposed bill could change that relationship. In the future, those labs and centers that wanted to continue receiving federal support could be required to do whatever the Department demanded.

The Department employed clever writers when putting together its proposed amendments. Unless the new draft is read alongside the current law, few readers would catch the significance of the change in the lab-center provision.

For example, the draft says: "The Secretary shall, in accordance with the provisions of this subsection, support regional educational laboratories and research and development centers." To a casual reader, that reads as if the Department is creating a funding setaside for laboratories and centers. But it isn't.

Right now the Department has five-year grants with the centers and five-year contracts with the laboratories. In other words, contractually the Department is already obligated to support the labs and centers for five years. That's two years beyond the length of the requested amendments. So all the Department's bill does is

confirm the fact that OERI already has entered into a contractual obligation with the labs and centers.

Here's the rub. The current law says "no grants shall be made and no contract entered into under this provision to fund labs and centers unless: (1) proposals for such assistance are solicited from regional educational laboratories and research and development centers by the Director; and (2) proposals for such assistance are developed by the regional laboratories and the research and development centers in consultation with the Director." The proposed law says no such thing.

Now that paragraph needs some explaining. It's the nub of the lab-center relationship with the Department.

The law says the Department must support labs and centers. And it says it must do so after asking the labs and centers to propose the work they want to do. That means the labs do a needs assessment of their region, work with their governing boards, and submit a proposal for review and consideration of the agency. The law also means that the university centers pull together their scholars, decide what's known and what's missing, and then propose an integrated series of studies around a common problem facing education.

The labs and centers can't just go off by themselves and of whatever meets their fancy. The law says their proposals must be developed ". . . in consultation with the director." That simply means that they and the agency must come to some agreement about priorities and missions before the work begins.

Nothing in this provision prevents peer review or open competition. The recent re-competition of all the labs and centers, using extensive peer-review procedures, makes that point.

The Department doesn't wants to accept proposals from laboratories and centers. It doesn't want to negotiate scopes of work with them. What the Department wants is to dictate its own research and development efforts and then find compatible institutions to carry out its bidding.

What the proposed bill says is that the Secretary (or assistant secretary, as the case may be) calls the shots, not the labs and centers. Oh, he's required "to the extent possible," to solicit recommendations and advice about what he wants to fund. But he's not required to pay any attention to it.

The proposed law says he can use whatever "suitable selection procedures" he wants to make the awards. He could ask the labs and centers to continue the practice of proposing their own work, but that's not likely, given the fact he dropped that provision from the law.

No, the Secretary is likely to fund only those labs and centers that conduct research and development programs of his choosing. He'll have the law on his side if his proposed amendments pass. A passage will read that the Secretary should only fund those activities that are ". . . consistant with the purposes and priorities of his office."

Unless Congress reauthorizes GEPA 405(f), the lab and center section, the OERI assistant secretary could negate all their existing awards and force them to begin with activities of his choosing.

REVAMPED OERI COULD BECOME PROPAGANDA MILL

Both Secretary Bennett and Assistant Secretary Finn had talked about the "bully pulpit" aspects of the Department of Education and its research-statistics office. The Department exists, they claim, to advocate educational policy. And the research and statistics operations of the Department exist to support that purpose.

We strongly disagree with this view. From our perspective, the Department's educational research functions as well as its data-gathering abilities shouldn't be used to support political agendas.

Historically, neither the National Institute of Education nor the National Center for Education Statistics have become enmeshed in partisan politics. Both strived to maintain their credibility with the school community by retaining an independence from the political pressures that flow from the Secretary's office.

No more. The Department's new bill places both the research and statistics arm of the Department in the hands of those who might wish to utilize them to promote the administration's point of view.

The best example, of course, is the Department's support for vouchers and educational "choice." Assistant Secretary Finn publicly states his endorsements of the concept and says how his agency's research agenda can help the Administration promote the notion.

Recently, for example, while testifying before a Senate committee, Finn talked about how his Office of Research should study how state and local governments

adopt "choice" policies. Finn said, "In this way, states become laboratories for social innovation, and we take full advantage of our federal system for the benefit of all."

In that same presentation Finn said he intends to use his Center for Statistics to increase the numbers of studies it does of private schools. "Such studies will improve our knowledge of private school staff and programs and will permit better comparisons of public and private schools." Such a comparison, Finn undoubtedly believes, would help the Department promote voucher legislation.

These are controversial issues. And sufficient forums exist to debate the merits of all positions. But it's inappropriate for these advocacy studies and data-collection activities to spring from the same fountains that nourish more generic school improvement efforts.

Stated another way, the centers and laboratories have considerable credibility with the school community because of their independence. If they become identified with the policy agenda of the Department, they'll lose their credibility and with it their effectiveness.

AT THE VERY LEAST, MAINTAIN INDEPENDENCE OF LABS, CENTERS

We don't think we're going to have much luck keeping the current administration, or even its successor, from tapping their research and statistics-gathering operation for partisan purposes. But at the very least, we believe the centers and laboratories must be kept separate from these efforts.

Therefore, we urge this subcommittee to do as its Senate colleagues have already done . . . protect the autonomy of the labs and centers.

We urge the subcommittee to reauthorize GEPA 405 and 406 with minor modifications as needed to reflect some aspects of the Department's recent reorganization. We realize that the Department's late release of its proposed legislation denies the subcommittee much time for such action. At the very least, then, we urge Chairman Williams, as a conferee on the Higher Education Bill, to accept the Senate's amendment that reauthorizes GEPA 405(f), the laboratory-center provision.

UNRESTRICTED PROPOSALS NEED A SET-ASIDE

We don't want to leave our testimony without saying something about another key feature of the Department's proposed bill.

In its draft, the Department proposes to support "meritorious unsolicited proposals for educational research and related activities that are authorized by this subsection, or proposals that are specifically invited or requested by the Secretary."

At first we thought the Department was creating a setaside for individual researchers, much as it has done for labs and centers. But a second reading convinced us that the Department may be only playing a cruel hoax on the research community.

That is, the passage doesn't say the Department is going to support "meritorious unsolicited proposals." It simply says it can. Or, and the Department should have underlined this word and printed it in boldface, or the Department may support "proposals that are specifically invited or requested by the Secretary."

Given a choice over the past ten years, the Department has nearly always chosen to support proposals that it invites or requests.

If the Department is serious about funding unsolicited proposals from individual researchers it should create a setaside and attach some dollars to it. We doubt if that's what the Department has in mind. And our skepticism is fueled by another proposed change that can only be interpreted as a slap in the face of university-based researchers.

That is, the current law says centers must be established by an institution of higher education or the one interstate agency established by compact that operates subsidiary bodies established to conduct postsecondary educational research and development.

The Department obviously doesn't believe that the best research talent resides within universities. They want to open future center competitions up to "public agencies and private, nonprofit organizations." We believe this is inappropriate. The Department has a congressional mandate to strengthen the educational R & D system. The bulk of educational researchers reside within universities. Therefore, it makes sense to restrict center funding to such institutions.

CONCLUDING COMMENTS

We don't think any administration, regardless of its political beliefs, should centralize so much power into one OERI official. Educational research and development

should always remain a federal effort. But to be effective, it must be field-based and oriented toward those in the educational profession who have responsibility for improving schools.

With that thought in mind, we make the following recommendations:

1. We urge the subcommittee to reauthorize GEPA 405 and 406. We believe the Department's proposal should be disregarded. The Department's alternative proposal is designed primarily to obtain congressional approval of an earlier reorganization effort that created a "federal research czar" in the person of the OERI assistant secretary.

2. If the subcommittee is unable to reauthorize GEPA 405 and 406 this year, we urge Chairman Williams, as a conferee on the Higher Education bill, to accept the Senate's Higher Education amendment (Title III, Higher Education Act) that reauthorizes the laboratories and centers. These 20 institutions are presently in the first year of their recently won five-year awards. Nothing should be allowed to interfere with these negotiated and approved work scopes.

3. If the subcommittee is able to reauthorize GEPA 405 this year, we urge it to create in legislation an honest, unsolicited-grants program. By that we mean a program that encourages proposals that may or may not address the Department's current priorities. Make it a separate category so that the Department has to propose line-item funding for it annually.

4. The current OERI structure includes ERIC clearinghouses and the National Diffusion Network. Neither the current law nor the Department's proposal makes mention of either. Both should be included if the subcommittee is able to reauthorize GEPA 405.

5. Both the Department's amendments and the current law make mention of the need to provide every person an equal opportunity to receive an education of high quality. However, the current law says "Inequalities of opportunity to receive a high-quality education remain pronounced." The Department's amendments drop this statement. We wouldn't. It still applies.

Finally, we close our statement with the same plea we made last year when we appeared before this subcommittee. Federally funded educational research needs to be reauthorized. And within its OERI structure it may require some fine tuning. But more than anything else, educational research needs a friend in Congress. And the agency that supports it needs to be called before oversight hearings to be reminded of its mission and challenged on its assumptions.

Mr. WILLIAMS. Our thanks to each of you.

Before going to my colleagues, Mr. Bartlett and Mr. Hayes, I do want to make note of an unusual occurrence. It seems almost a habit that when representatives of the administration have finished testifying, they leave the room. Today that hasn't happened, and I think that is worthy of note. We appreciate Mr. Finn and Mr. Elliott and their staffs staying with us to hear the testimony from the five witnesses that have come after them.

Mr. Bartlett.

Mr. BARTLETT. I thank the chairman for making that comment, because I concur. I think that there is a good deal of benefit, both for the Congress as well as for the department, in listening to subsequent testimony. It is my hope that perhaps that example will be used by other assistant secretaries as they testify before this subcommittee.

It always seems that the way we end up communicating is someone from the committee calls the assistant secretary and says, you should have heard what they said about you in the third panel.

Mr. WILLIAMS. And today they did.

Mr. BARTLETT. And today they did.

Let me try to begin with what you said in perhaps descending order of strength of views.

As I understand, Dr. Olson said that you are against the Department's bill, Dr. Timpane said that you are for it but you would like

to blend in a little bit more autonomy for the labs and centers, and Dr. Gideonse said that you are for it.

Dr. GIDEONSE. No. We have not had a chance to read it sufficiently to comment.

Mr. BARTLETT. But you are for the reauthorization?

Dr. GIDEONSE. Reauthorization of NIE, that is correct.

Mr. BARTLETT. Dr. Timpane, you are for the reauthorization at $184 million level. I wanted to inquire as to what you included in that. Does that include libraries? Is that compared to $70 million in 1986? Or does the $177 million include libraries?

Dr. TIMPANE. That compares to the $175 million that was the authorization in 1980 to 1981.

Mr. BARTLETT. I am sorry. Could you tell me what it compared with for fiscal year 1986?

Dr. TIMPANE. It compares to the $70.1 in 1986. That I understand is in the Department's bill. We understood, when making that, that that is not perhaps a realizable figure in the context of Gramm-Rudman, but we wish to emphasize—the point that I made and I think that Dr. Gideonse has made is that the Agency needs to be given a serious shock some day, that the levels it is at, the choices that its director has to make, whether it was me directing them or whether it is Secretary Finn directing them today, are so severe they are unacceptable.

We cannot make a decent attack on the breadth of problems of the largest single social activity in the United States, namely education. And so, it is in that spirit that we recall you to the authorization levels which were in the reauthorization of NIE the last time it was reauthorized in 1980.

Mr. BARTLETT. I understand, and by the way, you are not the only one that has tried to compare all kinds of authorizations to levels in prior years. But you are comparing that $184 to the $70 million in the current funding?

Dr. TIMPANE. That is correct, sir.

Mr. BARTLETT. Let me ask sort of a broad question, and begin with Dr. Gideonse.

First, let me ask a specific question. I have read your written testimony and heard your verbal presentation, and I was unclear. Are you saying that the National Institute of Education published these three books, these handbooks?

Dr. GIDEONSE. No. These were published by the American Educational Research Association, but—and I haven't done the citation check on this, but a vast amount of the work that is recorded in this volume is the product of the last 30 years of work supported by federal funds in educational research.

Mr. BARTLETT. The curriculum kind of work, rather than——

Dr. GIDEONSE. These focus on teaching. While there are chapters in these volumes on curriculum areas, they pertain to the teaching in those curriculum areas, rather than to curriculum content or design.

Mr. BARTLETT. Let me ask a broad question, then, Dr. Gideonse. I believe you were very complimentary of the National Institute of Education, as to the quality of the research.

Dr. GIDEONSE. That is correct.

Mr. BARTLETT. Was that the tenor of your testimony?

Dr. GIDEONSE. Yes, it is.

Mr. BARTLETT. You think it is very high quality?

Dr. GIDEONSE. I was director of planning for the predecessor agency of NIE for 7 years, so I knew—with the planning and evaluation, actually, so I had some experience and, I suppose, responsibility for the old research program in those days, and there is no question about the fact that the work that is being done now is of greatly increased quality from the work being done there. We have learned a great deal. We know how to go about doing it.

We have applied that knowledge in the conduct of the research enterprise.

Mr. BARTLETT. How is that work translated into the classroom? How does it assist the—I won't say the third grade teacher in Del Rio again, but I think you know what I mean. How is that work presently translated into classroom techniques?

Let me use a negative example. I recall that during the 1970's one of the things that went wrong with the Dallas Independent School District, it is well documented, was that the school district, through a variety of administrations, used many grants that came out of the Department of Education. The problem was that it was everchanging and the resources were made thin and teachers just simply fell into despair trying to understand what they were doing from one semester to the next.

So, tell us in your words how the research arm of the Department of Education assists practitioners today?

Dr. GIDEONSE. Well, actually the folks in OERI would be able to better give you a sense of the mechanisms there. But let me talk about my own direct experience as an education dean.

Take the research that has been going on now at Michigan State and other places on the nature of teacher thinking and planning, how will they go about considering what it is they are going to do, responding to the experiences that they are confronted with directly in the classroom, how do they factor that into making professional decisions.

Well, one of the ways that that affects what we are doing is to raise primarily questions about whether student teaching, for example, in the teacher education program is apprenticeship, the practice of skills, or whether it is aimed at making people who are about to be teachers more reflective about the teaching act, more professionally responsive to the data, to the underpinning, concepts of learning, and so on.

The pedagogical, the practical instructional consequences for us of apprenticeship on the one hand or reflective of our teaching on the other are dramatic.

If you want an apprenticeship program, you simply farm them out, you make a judgment as to who the good master teachers area, you let them alone, you let them watch, you let them copy.

If you want them to be reflective about it, you have to provide opportunities for teasing information out of a situation, thinking about it, dialoging about it.

There are cost implications for the staffing of the Teacher Education Program, for the sequencing of the program which are substantially different now if we go this new way based on what we have learned about teachers than the old way.

Now, we have heard some metaphors used here about taproots and wellsprings. Those are physical metaphors and they are biological metaphors. I think that those are problemmatic as metaphors. I am not sure what the right metaphors are, but I don't think they are physical.

A tree has a taproot. Half of the tree is spent absorbing stuff. How much time do teachers or education faculty spend absorbing the new stuff? It turns out relatively little.

I have done some empirical research, the first stuff I have done in a long time, collected logs on how faculty members, good faculty members in three colleges spend their time. And it is an astonishing result.

Out of 90,000 minutes, 200 over those 27 cases were spent on discursive journal reading. That is, picking up a book without any purpose in mind and just trying to keep up with the literature.

Now, that sounds like it is awful. It is awful. Is it bad? No, it is not bad. They are taking care of their instructional, advising, governance responsibilities on average about 58 hours a week.

Now, in order to be able to use this—and I mention this because this is the character of our enterprise and we need to be very careful about the management and policy direction of the educational research enterprise, that it in fact fits with the character of the enterprise out there, 1,200 schools and colleges engaged in teacher education, 16,000 school districts, I don't know how many thousands of schools, but you know, primarily in egg crates, meaning the teacher is alone, not in a collegial relationship with others, as in other professions.

We have got to solve those problems, too. I don't think educational research is broken. I think it has hardly been tried yet. And it needs to be fit in terms of its policy structure, like the regional labs, for example, to that tremendously complex, not well articulated set of differentiated functions and responsibilities.

Now, that is a little bit longer answer than I meant to give and I am not sure I got it to you in layman's language. But that enterprise called education is what this research is supposed to support, and it needs to be conceptualized and managed in that relationship to those realities.

Mr. BARTLETT. Dr. Timpane.

Dr. TIMPANE. I would say that if the Del Rio schools have bought a new elementary reading series in the last 10 years, that that reading series has been profoundly influenced by research which was supported by the National Institute of Education.

Moreover, in thinking about that problem, they would probably also have read such volumes as "Research Within Reach," which were volumes put out by an organization that was a former member of CEDAR, which had taken the reading literature and boiled it down into about 100 pages or so, in a form which said, "If this is what you are looking for, you know, here is where you should go."

They were probably both guided to what they wanted and indeed what they end up purchasing would both, in the reading area in particular, have shown strongly the effect of NIE.

And many, many school districts, urban and suburban and rural in this country, are reporting rises in reading scores in the elemen-

tary grades. I think we must give a share of the credit to educational research.

Mr. BARTLETT. Dr. Olson.

Dr. OLSON. Just a brief comment, primarily from the school practitioner community again.

It seems to me that the challenge that the schools in my region face these days with the reform movement prevalent in every one of the seven States is to take this set of research findings that has been produced over the past decade and put it into place in a school improvement effort.

They define the problems and needs. They use the research to help make those improvements.

Again, the comment on agenda setting. They should set the agenda. I don't hear many of them asking us for help with character.

Mr. BARTLETT. You don't?

Dr. OLSON. No, I don't.

Mr. BARTLETT. Do you think that the Department of Education or a private organization should research whether having teachers displaying values in the classroom will provide for better education, or do you think that is not worthy of research?

Dr. OLSON. I am not sure what the research question is.

Mr. BARTLETT. Well, how about the way I phrased it, do you think that is worthy of research by someone?

Dr. OLSON. No, I don't.

Mr. BARTLETT. Tell me what your lab does. I am not sure. On a day-to-day basis, how many teachers do you talk to and assist?

Dr. OLSON. Yes. We are one of the newer regional educational laboratories. We have been in existence slightly over 1 year now. However, in that short period of time we are reaching large numbers of teachers.

For example, just 2 weeks ago I concluded a planning session with the State presidents of the teachers associations in my region, where we struck agreements for them to assist us through their newsletters and through their communication devices to communicate to every teacher in our region who are members of those particular associations with new sets of research findings about effective teaching and about effective staff development, which is another one of our priority areas.

Mr. BARTLETT. So, you communicate with teachers primarily through the newsletters of teacher organizations?

Dr. OLSON. And through training of persons. The National Institute of Education has required us now to work more with intermediary organizations, to use their term, regional service units such as those in Texas, State professional associations, rather than working directly with the thousands of local schools.

I have a budget the size of a small junior high school to serve a seven-State region. So, we need to seek good multiplier effects by working with associations.

Mr. BARTLETT. Do you have seminars or summer institutes?

Dr. OLSON. Yes. Conferences on new research findings, yes.

Mr. BARTLETT. Do teachers themselves come into your lab?

Dr. OLSON. Exactly.

Mr. BARTLETT. How many teachers per year would you talk with face-to-face on a day-to-day basis?

Dr. OLSON. Would I talk with on a face to face basis, or my staff?

Mr. BARTLETT. How many teachers would you have a direct contact with outside of the newsletters?

Dr. OLSON. Probably not very many within this past first year, other than those who served on my program advisory group. We had significant numbers on that because that was a planning year.

Mr. BARTLETT. Thank you, Mr. Chairman.

Mr. WILLIAMS. Mr. Hayes.

Mr. HAYES. Thank you, Mr. Chairman.

Let me apologize for—my dentist immobilized my entire mouth this morning and now it is just beginning to come back to life with great pain. So, the questions I might have asked——

Mr. BARTLETT. If the gentleman would yield, I would be happy to take your 5 minutes.

Mr. HAYES. We have some unity, but not that much.

Let me raise one question maybe with you, Dr. Olson. Your testimony emphasizes what some of us have already realized. The current course the Department of Education is following certainly is not in the right direction.

What percentage of your research program—it is directed mostly toward teachers—is now dependent upon Federal funds, if any?

Dr. OLSON. In our laboratory, our budget this next year is $1.3 million, with an additional contract with the Illinois Office of Education for $58,000.

Mr. HAYES. Could you stand a reduction in funds from the Federal Government?

Dr. OLSON. We would be very hard pressed. Again, given the region that serves 21 percent of the Nation's school population, prepares over half the Nation's school teachers, we would be very hard pressed to reduce. But if forced to, we would.

Mr. HAYES. I have some particular concern, I don't know whether you share it or not, and I would like to have you comment on it.

I think the proposed reduction in funds for public education at all levels particularly is going to have a devastating effect on the poor and disadvantaged. When you reach the higher education level, you just find people will not be able to go because they don't have the resources to do it.

On the other hand, you find people are not entering the teaching profession because it does not pay comparable salaries to other courses the people might follow who are lucky enough to get an education.

I just wonder if you share my opinion as to the—I don't think it is an accident, there seems to be an unavailability of funds being proposed to help the kids who need help, and I am really concerned about the opportunities to fit them into society.

Dr. OLSON. Yes, and we deeply share your concerns.

In terms of the issue of educational equity pervading both our programmatic areas of professional development, we see for example a dangerous decline and significant decline projected for minority teachers, the minority teaching population in our region. That is a major issue that we see.

We see major issues facing the reform movement in terms of the potential for greater push-outs in our schools, in terms of the educationally disadvantages. We see great need for attention to the needs of the educationally disadvantaged, and that is a major priority within our instruction program.

Mr. HAYES. Thank you very much.

Mr. WILLIAMS. Gentlemen, do any of you have thoughts about why the percentage of blacks attending higher education is decreasing?

Dr. TIMPANE. Yes. I have one, I believe, that has to do with the adequacy of financial aid arrangements. Not just the fact that the Federal Aid Programs have not kept even with their own previous purchasing power, but that the costs of education in both the public and private sectors have, in turn, accelerated faster than the cost of living.

We are simply pricing ourselves away from poor and minority students, and we are not getting any help from the Federal Government to make up the difference.

It is particularly tragic in the teaching profession and what we are going to do for the teachers for classrooms around our Nation that are going to be 30 to 35 percent minority before the turn of the century on average, when so few qualified minority students choose education as their career, because of the pay levels in the profession relative to the expense of being trained for the profession, plus the absence of jobs over the past 10 years.

Over the past 10 years, if anyone wanted to be a teacher, there were, until recently, too few jobs. People, and in particular minority people, who were last hired, first fired during the retrenchment, have set their sights somewhere else, where they can get better remuneration.

I think we will reap a bitter harvest for that before the end of the century if we don't find ways to turn that around.

Dr. OLSON. I would just support that excellent analysis.

Dr. GIDEONSE. I would, too. We have also reallocated some of our budget this year and a staff position, I might add, away from our faculty to a minority recruiter, and created scholarship money out of our declining budget.

We know, too, how to make hard judgments in a declining situation.

I might also add, however, that when Ohio fell into terribly hard times 5 years ago and we went through serious budget cutting, two and three and four times in a budget year, we ultimately did what had to be done, which was to make some tough priority decisions about what to get rid of, and then we raised taxes to bring the support for public education back up to where it needed to be.

Mr. WILLIAMS. There has been some discussion today about what is broke, how it ought to be fixed, whether or not it is broke, whether or not to fix the tape.

Such discussion started with Assistant Secretary Finn's own remarks.

One of the panelists today had mentioned that sometimes we fix things that, in fact, aren't broke. It is just that we never spent enough money on them. They weren't broke, we just never spent enough money on them.

It may be that when historians write this chapter of the 1980's, the title may be something like, "It Wasn't Broke But They Discarded It Anyhow."

A close look at the Federal partnership shows that there have been many good efforts which began their funding life as model programs, Model cities for example, and never reached a funding level beyond that of a national model.

A decade or two later we pointed at the results and said, "Gee, it didn't do very much good." Well, we didn't put very much money in it. We didn't try to really attack the difficulty of illiteracy in the prisons in any meaningful way.

I want to end this hearing as we began. I am hopeful, although I have some serious concerns, that even though research is not broken, the President or at least the Congress—I don't think we can say the President is going to do this one—but the President may claim it broke and too expensive to fix and discard it for the time being. The time being, the life of Gramm-Rudman legislation.

I hope not. We will see. Your testimony has been very helpful here today. Thank you all very much.

[Whereupon, at 11:55 a.m., the hearing was adjourned.]

[Material submitted for inclusion in the record follows:]

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STATEMENT OF THE AMERICAN FEDERATION OF GOVERNMENT EMPLOYEES LOCAL 2607, U.S. DEPARTMENT OF EDUCATION
BEFORE
THE SUBCOMMITTEE ON SELECT EDUCATION
U.S. HOUSE OF REPRESENTATIVES
WASHINGTON, D.C.
February 27, 1986

Mr. Chairman, we are grateful to be given the opportunity to discuss the functioning of the Department of Education's newly-reorganized Office of Educational Research and Improvement.

Secretary Bennett said, "Nothing the federal government does in the field of education is more fundamental or more important than supplying the American people with prompt, reliable, and comprehensive data on the educational performance of our children." However, this sentiment is not supported by resources provided by the Reagan administration to achieve this objective, to wit:

1. The Center for Statistics (formerly NCES) has the lowest budget of the eight federal statistical agencies;

2. The above-mentioned budget for NCES has declined in constant dollars for each year since 1980;

3. The staffing for NCES ranks it seventh out of the eight federal statistical agencies; and

4. There have been fewer NCES employees each year, from 173 in 1980 to 139* in 1986.

*While the personnel ceiling for the Center for Statistics is 139, the number of staff on board is approximately 113.

The employees of the Department of Education's Office of Educational Research and Improvement (OERI) and Local 2607 of AFGE are concerned about the inadquate and eroding resources provided to supply Congress and "the American people with prompt, reliable, and comprehensive data . . ." We are concerned as well with new developments we see in other parts of OERI. We will group these new developments in two broad categories, I. Abuses of the civil service, and II. Bad management of statistical and research programs.

I. ABUSES OF THE CIVIL SERVICE

A. The Reorganization of OERI

The recently-implemented reorganization of OERI has a variety of attributes that are deleterious to the civil service system in general and to civil servants in particular (i.e., those in the GS and GM services):

1. As a result of the reorganization, many civil servants find themselves in new functions outside their areas of expertise. This shift of personnel results in decreased productivity for the agency. For the individuals affected, the shifts could mean poor performance appraisals. The problem is compounded by a total lack of retraining.

2. The reorganization reduces the number of section head, branch chief, and deputy director positions. This is bad for the agency because it partially removes the infrastructure needed to administer statistics and research programs; it is bad for civil servants because there are fewer positions available to support mid- and upper-level grades.

3. The management of OERI uses the reorganization to place AD's in management and/or advisory positions. "Excepted Service" employees, (the local terminology is AD) are not regular civil service employees: they are "excepted",or exempted, from the civil service competitive hiring process; they are both better compensated and more easily released than are employees in the GS and GM services. These features make them less resistant to political pressures. They are supposed to be specialists and advisors with unique academic credentials, not line managers or supervisors. Their placement as such in the reorganized OERI displaces GS and GM employees who should be the managers and supervisors.

4. The new OERI has several units with highly-graded civil servants grouped together, inviting desk audits, downgrades, and RIFs.

5. The mission statements of units of OERI are vague. There appears to be overlapping or duplicative functions which make many vulnerable to audits, downgrades, or RIF's . . . (We have the same function in 3 places, why not get rid of 2 units and have 1 do all the work?)

B. Inadequate Staffing of OERI

OERI does not have adequate support personnel. Specifically there are not enough clerical, secretarial, computer, procurement, or graphic arts staff.

Because of redesigned and/or expanded statistical, informational, or research creations, there are not enough staff in many of OERI's units to administer them. On the other hand, employees in other units complain they have NO real work to perform.

C. Subversion or Contempt of Competition

Management ignores personnel regulations in competing for top jobs, places AD's in such positions, blocking normal upward movement of talented employees, does not post vacancy announcements and ignores complaints on such matters. Poor fits in background experience and work performed is ignored, confusing the orderly processing of work.

D. Bad Working Conditions

OERI has been in the Brown Building as a unit since the Spring of 1984. Prior to that, elements of OERI have been in this same location since the formation of the Department, and before, with HEW. We have watched the confirmed findings of asbestos in 1981 and realize that unprotected (done without abatement procedures) construction in 1977, 1982, and 1984 exposed many of us to asbestos. Even though we have repeatedly agitated about the air we breathe, no one has ever moved to help. Most recently, the threat of widespread exposure to asbestos created such a swell of public sentiment , with many managers concerned as well, that a series of meeting were held on the subject. At one of these meetings, a public forum at a local theatre auditorium, we were all assured by safety officers, GSA officials, and managers, that we would not be endangered by work in our building. But we have watched "errors" and midnight construction, with

no air quality test systems or oversight protection given us.

Now, OERI is moving to a new building. The plans in place call for us to use a health unit 4 blocks away. It is as if management assumes that anyone who needs a nurse is neither sincere nor in real need of attention.

Our new spaces are being given a phone system that is flawed from the start. The reason for each of these situations is listed a cost savings. However, in hearing this reason, we are reminded of the analogy that , while gasoline prices may rise dramatically for the benefit of immediate profit, they seldom drop dramatically for the benefit of long-term integrity. Costsaving at the risk of employees health and office operating efficiency is beneficial only to current bookkeeping and is not a true costsaving.

In view of the history of unresolved problems and unfulfilled promises, it is not surprising that the employees do not look forward to the move. No one has ever asked the employees what their new problems will be. If the situation is that no one cares, or that the federal employee can not be believed, the result is the same. Employees cope and perform, but productivity suffers. Until managers can make available their managing of employee working conditions to the employees themselves, in a credible way, the demoralizing effects of poor working conditions will be felt, in the end, by your constituents.

II. BAD MANAGEMENT

A. Management in OERI decided to discontinue the Vocational Education Data System (VEDS). As a result, we have no data to fulfill Congress' mandate to provide the data. The Union believes that no warning of this and of other cancellations will reach Congress' ear until long after, when holes and gaps are irreparable. There exists now retrenching in many areas in OERI. Some dumpings, if not most, will affect the addressing of poor, handicapped, minority and other unpoular causes. We predict there may be personal vendettas appearing, also, in the secrecy of the proceedings.

B. Major, national surveys are being disrupted. Because of management decisions to redesign or discontinue these efforts, the American people have seen the end of data to produce the Elementary and Secondary General Information Survey (ELSEGIS), the Vocational Education Data System (VEDS), and theHigher Education General Information Survey (HEGIS). Other survey systems have been expanded beyond the capacities of our staff and budgets to administer. In decision after decision, management seems obsessed with following a new axiom: "If it ain't broke, break it."

C. Centralizing power in fewer hands: the contracting authority is now in the hands of the Assistant Secretary, as well as the ability to choose members of advisory councils. This seems a poor idea, since some individuals may seize the opportunity to select personal friends as contractors, or choose to ignore recommendations of the advisory committee.

D. The reorganization plans have been so disorganized, hasty, and secretive that policies are jammed into place without the knowledge of Congress. The Union feels that misstatements have occurred, that obfuscations have deceived, and that end runs around Congressional intent have been made in order to further political aims of the administration.

E. The Union was not consulted on planning nor implementing the reorganization, however well-intended the present management. Objection after objection has been offered, with no change in the implementation.

TO CONCLUDE, THE UNION HAS SOME PROPOSALS

To protect and stabilize existing surveys and other education-related research and library programs, the

Union recommends (1) A moratorium on survey or research redesigns; (2) That OERI be instructed to work immediately with education associations, States, Congress, and other research, library, and data users and providers , toward the development of data collection, research, and dissemination strategy; and (3)that OERI reestablish responsible procurement practises.

To protect civil servants, we recommend (1) The reestablishment of section head, branch chief, and deputy division director positions; (2) The hiring of addition clerical, computer, graphic arts, procurement and other support staff; (3) The freezing of hiring of AD's and high-graded employees; and (4) Using the expertise and continuity of civil servants within OERI because (a) they are best qualified to run these programs, (b) they are more resistant to political pressures, and (c) they are less expensive to the taxpayers; and (5) The consolidation of the responsibility for vocational education data collections under one unit.

Nancy Young
254-6827
Area Vice President
Local 2601

FEB 2 - 1986

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Congress of the United States

House of Representatives

COMMITTEE ON SMALL BUSINESS

2361 Rayburn House Office Building

Washington, DC 20515

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MAJORITY—226-7301
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TDA CODE 202

February 28, 1986

Honorable Pat Williams
Chairman, Subcommittee on Select Education
Committee on Education and Labor
A617 H.O.B. Annex 1
Washington, D.C. 20515

Dear Mr. Chairman:

We appreciate this opportunity to comment on the hearings held by your Subcommittee on February 19, 1986, and to submit for the hearing record a statement in support of the Department of Education's Small Business Innovation Research Program.

We recognize that educational research, like all areas in the federal budget, is being affected by current deficit reduction decisions. However, we believe the Federal Government still has an important responsibility for improving the quality of our national educational system through research and development activities and the adequate dissemination of that research information. As Assistant Secretary Chester Finn pointed out in his testimony "the federal government is uniquely equipped to support and encourage education research, data collection and dissemination of knowledge about effective educational practices."

We are continually reading reports that the Japanese and other developed nations are far outstripping our Nation in the numbers of engineers being educated. From this, we can assume that our ability to train technical experts has a major impact on our competitive standing in the world.

The Department of Education, in its research efforts, has solicited advice for improving America's educational system from a broad cross-section of experts, including small businesses. Under P.L. 97-219, the Small Business Innovation Development Act of 1982, the Department of Education has established a successful Small Business Innovation Research Program.

P.L. 97-219 requires Federal agencies with extramural research budgets in excess of $100 million to establish a Small Business Innovation Research Program, utilizing a small percentage of their research and development (R&D) budget. Small businesses

are invited to submit proposals in response to solicitations which list broad research topics of vital interest to participating agencies. Before passage of P.L. 97-219, small businesses, the nation's leading innovators, had been virtually shut out from Federal R&D efforts. Congress enacted this landmark legislation in the belief that the Nation's entrepreneurs constitute a pool of creative talent that can be tapped to solve pressing technical problems. We have not been disappointed. The SBIR program has been highly successful and has resulted in research projects of exceptional scientific and technical merit. As an example, we have attached an article on the SBIR program in the United States Department of Education that appeared in the February 25, 1985 edition of Education Times entitled "Small Business Innovation and Research Seen Producing Unexpected Benefits to Education." We ask that it be included in your hearing record.

The SBIR program is extremely competitive. Reports indicate that the quality is high and compares favorably with traditional non-SBIR performers. Government-wide statistics for the first two years of the program indicate that 16,796 Phase I research proposals were submitted, and 1,685 awards made (approximately one in ten) for up to $50,000 each. We have been informed by agency officials that at least twice as many were deemed worthy and would have been given awards if sufficient funding had been available. Research projects demonstrating exceptional merit at the end of Phase I are eligible for Phase II awards up to $500,000. Approximately one in two projects have been selected for Phase II funding. Phase III involves private sector follow-on funding, and commercialization of SBIR results is encouraged.

The Small Business Administration (SBA) has responsibility for monitoring the SBIR program as implemented by participating agencies. According to SBA, the Department of Education received 84 SBIR proposals in FY 1983 and made 8 awards for a total of $311,000. In FY 1984, the Department of Education received 234 Phase I and 7 Phase II proposals; 13 Phase I and 3 Phase II awards were made for a total of $694,000. A small sample of research project titles follows:

A Bilingual, Individual, Computerized Career Assessment and Job Placement System

Simplifying and Improving the Creation of Software

Personalized Multi-Media Computer Aids to Teaching Foreign Languages

A Programmable Computer Synthesized Speech Module for Bilingual Education

A Courseware Authoring and Delivering System for Chinese Language Instruction

Improving Technology, Training, and Opportunities for Blind People in Word Processing

Development of Models of Volunteer Involvement of Disabled Employees and their Supervisors from High Technology Companies as Mentors in the Transition of Handicapped Youth from School to Work

Computer Mediated Laser Videodisc Art Retrieval System

Lexical Analysis to Enhance Man-Machine Interaction

Input and Output Mechanisms and Devices

An Educational Data Acquisition System for Use in Secondary Science Courses

Simplified Courseware Authoring System with Simulation and Video/Graphic Capabilities

Research on the Feasibility of a Self-Customizing Authoring System for Special Education

Information and Training Dissemination Project for Mildly Handicapped Persons During their Transition from School to Work

The Development of a Computer Data System for Accessible Design and Removal of Architectural Barriers

Development of a Computer-Assisted Proofreading System for the Handicapped

Speech Recognition of Children's Speech Patterns

We are pleased that the Department of Education has demonstrated support for the SBIR program while maintaining a standard of excellence. We can be proud of the results of this program in quality research that contributes to our national educational goals.

Sincerely,

Parren J. Mitchell
Chairman

Nicholas Mavroules
Chairman, Oversight Subcommittee

Joseph McDade
Ranking Minority Member

Silvio O. Conte
Ranking Minority Member, Oversight Subcommittee

Small Business Innovation and Research Seen Producing Unexpected Benefits to Education

A federal law designed to aid small business is having unexpected benefits for education, according to the U.S. Education Department's Assistant Secretary for Research and Improvement.

The Small Business Innovation Development Act, which President Reagan signed into law in the summer of 1982, was based on the thought that small firms can conduct research and development activities efficiently, and are particularly effective at bringing new products to the marketplace.

The principal provision of the act, entitled "Small Business Innovation and Research," requires that every federal agency with an extramural research and development budget in excess of $100 million will set aside a percentage determined by law for a special competition limited to small business firms (of fewer than 500 employees). The percentage was 0.2 percent in 1983 and has risen to 1 percent in the fiscal year. Next year and for the duration of the act two years beyond, the percentage is set at 1.25 percent.

Donald Senese, who heads the Office of Educational Research and Improvement in the U.S. Education Department, notes that the department, with a research and development budget this year of about $116 million, is barely able to meet the $100 million threshold. But the challenge to an effective use of small business in the department's research is more conceptual and practical than financial, Senese observes, for several reasons, among them that education institutions are wedded to traditional methods and painfully slow to change; and that only the thinnest slice of the nation's educational budget has been devoted to the products of the private sector.

As is the case for many other agencies of the federal government, most of the R&D supported by the Education Department is performed by research universities, federally supported laboratories and research centers, and other nonprofit organizations.

"Thus, there was little sense initially in the Department of how effectively the SBIR program could be made to dovetail with the President's education policies and the Department's goals and objectives," Senese said.

But initial experience with the operation of the program has been reassuring, and indeed a rewarding surprise, Senese admits. "Project activities of very high quality and potential benefit to education have been identified which would have been unlikely candidates for funding in the absence of the SBIR provision of the Small Business Innovation Development Act."

Senese cites some specific examples of projects that he says illustrate the success and potential of the small business research program.

Creare R&D, Inc., is a 22-year-old engineering firm in Hanover, N.H., that specializes in developing innovative ways of measuring and displaying physical phenomena ranging from the small--blood vessels--to the large--gas turbines--to the exotic--nuclear reactors. A successful competitor for both Phase I and Phase II funds, Creare is now developing an inexpensive prototype system, including instrumentation, hardware, and software to facilitate secondary school science laboratory instruction using a microcomputer. (In Phase I of the SBIR, eligible firms can receive $50,000 over six months to determine if the idea proposed is technically feasible; in Phase II, awards are for a two-year period to develop a working model.)

The general-purpose laboratory system envisioned by Creare in its proposals will facilitate the conduct of school science experiments using the microcomputer for data-gathering and analysis, much as is now done in industry, Senese points out. "The Creare project promises to be the most extensive and flexible system of this kind in the market available at a price schools can afford. At a time of great concern over lagging interest in science among American students, this project shows promise of providing a motivational stimulus, in addition to facilitating the student's acquisition of science knowledge and experimental technique."

Another project that competed successfully in the first SBIR Phase I competition in fiscal year 1983 and in the follow-up Phase II competition in fiscal year 1984 is concerned with improving educational computer software, or "courseware." The Athena group, an eight-year-old Washington, D.C.-based firm, is developing a courseware production or authoring system for use by teachers, with special application to courseware for students with special learning disabilities.

"This promising activity is an important contribution to the Department's objective of assisting all children [illegible] perform educationally to their fullest potential, using technology when desirable or necessary," Senese said.

Examples of other project proposals that competed successfully in the second Phase II competition in fiscal year 1984 include one concerned with aiding the blind to take and file classroom notes in a computer, edit text, and retrieve information from a computer; a second concerned with assisting instruction in the Chinese language using a computer, despite the difficulty inherent in teaching a written language that uses thousands of characters; and two projects that use voice to facilitate the use of computers by handicapped and nonhandicapped students.

Although the program is too new for a full assessment of its effects—the Education Department has just made its first of three Phase II awards—it seems clear to Senese and to the department's SBIR coordinator, Edward Esty, that "the program is supporting unanticipated activities proposed by small business firms that have the potential to benefit greatly the nation's educational system; activities that will help realize the promise of technology for improvement of education at all levels, for all student categories."

"The SBIR program is proving the wisdom of the President's policy of urging that the private sector, properly stimulated and motivated, not government-financed programs with a myriad of regulations and inflexible bureaucracy to administer them, should be in the forefront of efforts to resolve the majority of our economic and social problems."

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MAR 04 1986

American Association of Colleges for Teacher Education

March 3, 1986

Dr. Gray Garwood
Staff Director
Subcommittee on Select Education
617 House Office Bldg., Annex 1
Washington, DC 20515

Dear Gray:

Enclosed please find our comments on the Administration's proposal to reauthorize the National Institute of Education. These comments were prepared by Dr. Hendrik Gideonse and reflect the viewpoint of AACTE.

Please let me now if you have any questions or would like further clarification on our position.

Sincerely yours,

Penny

Penelope M. Earley, Director
Federal and State Relations

PME:ba

One Dupont Circle, Suite 610, Washington, D.C. 20036 — (202) 293-2450

AACTE is pleased to submit additional comments stimulated by the Administration's proposal for reauthorization of the National Institute of Education. In the main, our comments are directed to three prime concerns: accountability; substantive policy changes in the mission and authority; and provisions respecting the National Council for Educational Research.

ACCOUNTABILITY

We are concerned about possible diminutions in the accountability of OERI to the Congress. Our concerns include:

1. Removal of a requirement that the National Advisory Council deliver an annual report.

2. Dropping of the obligation of the labs and centers to prepare their own plans, albeit in consultation with the Assistant Secretary.

3. Elimination of the specific three-year review of NAEP in favor of a less specific provision for "periodic review."

4. Insertion of language pertaining to peer review, which we strongly support, but without defining "peer" in terms which make it clear that professional, academic, or intellectual expertise is the quintessential modifier.

Our concern is that these proposed changes in language increase the authority of the Assistant Secretary without providing adequate safeguards that the exercise of that authority will be accountable. The dropping of the language pertaining to lab and center planning also suggests less-than-adequate understanding of the implications of the decentralized responsibility for educational policy and practice in America in the context of an effective R&D system. While careful attention overall to quality work is important, equally important is direct connection to felt needs for information or knowledge that will improve practice and policy. We think it is worthy of note that the increased messages of centralization of authority in OERI are coming from an Administration that has, in countless other respects hammered away at the concept of restoring to states and localities their prerogatives and responsibilities. The point is just as, if not more, valid for educational R&D and should be applied there as well.

SUBSTANTIVE CHANGES IN MISSION OR AUTHORITY

There are a number of changes in mission or authority which we note and respecting which we have the indicated comments:

1. In Section 405.(a)(1) the sentence "Inequalities of opportunity to receive high quality education remain pronounced" is deleted.

Does the Administration believe this condition has been eliminated? Why remove the language, which we take to be an important, continuing

understanding about our continuing circumstance and, therefore, an important spur to program development?

2. Section 405.(b)(2)(B) is also dropped.

Have the educational systems of the nation overcome the "problems of finance, productivity and management" to warrant dropping reference to them as an R&D priority?

3. Section 405.(b)(2)(D) is also dropped.

Has preparation of youths and adults for entering and progressing in careers ceased to be a mission of America's schools and, therefore, a legitimate focus for R&D in eduction?

4. Section 405.(a)(2)(iv) currently declares it to be the policy of the United States "to build an effective educational research and development system." The Administration's proposal would reduce that obligation to "strengthen the educational research and development system."

This change, we believe, would move OERI backward in terms of the fulfillment of the long-range interests of education for the nation. Virtually anything OERI might do to support quality R&D for education could, arguably, be seen as a strengthening step. Whether OERI's actions would contribute to the aim of simultaneously building an effective educational R&D system requires the adoption of a much longer time frame, one that we believe the Congress ought to exact of the agency. If we have learned anything in the thirty years of federal support for educational research and development it is that the challenges of supporting the educational systems of the nation through research and development require careful attention to substance and quality but also to institutional structure and the gradual transformation of professional roles in order more adequately to understand and link to the processes and fruits of educational research. That requires attention to systemic matters. We believe OERI should not only continue to be required to address such matters, but that their attention to them should be increased rather than withdrawn.

5. The appropriation levels are grossly inadequate to the task.

We understand the impact of Gramm-Rudman. On the other hand, the concept of balanced portfolio, which we strongly support, and the deep need of the educational systems for more sophisticated understandings of its needs and professional processes cry out for a far more substantial R&D effort than is currently being mounted. Less than a dollar a head is now being spent per individual (65 million of them!) enrolled in the nation's educational institutions. By contrast $22 is spent for every man, woman, and child in America for medical research. Appropriation levels established by the Congress must allow for responsible growth in educational R&D.

6. Provisions for "excepted service" (Section 405.(e)(5) of the act) seem to be dropped from the Administration's proposed bill.

This provision is vital to the capacity of OERI to be able to reach out

and invite capable researchers into the agency for three-year periods of time to assure direct access to high quality talent without reference to the limitations of civil service requirements. This authority should be continued. Furthermore, it should be strengthened to guarantee that it is used only to employ research personnel and not become a vehicle for increasing the number of political appointments.

7. Authority is requested to award R&D Centers to profit-making corporations.

We believe that such authority is superfluous. Institutional awards ought to be made not only to undertake sustained work in an area of importance, but to do so in a way which builds capacity in the R&D system by institutional development and the creation of training opportunities. For these reasons, we believe that R&D centers as such should be awarded only to public or higher educational institutions.

The National Advisory Council for Educational Research

Establishing firm connections with the major education policy and practitioner constituent elements is essential to both the short and long run health of the national educational research and development enterprise. If it is so important to carefully specify the membership of the NAEP Policy Council, it is even more important to do so for the National Advisory Council for Educational Research. Not only should the Council have designated seats for the major national constituent organizations of the education establishment plus set-aside seats for representatives of the several research communities, but the reauthorization should provide for staggered terms for the individuals appointed so that continuity is maintained over time.

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EDUCATIONAL TESTING SERVICE (ETS) WASHINGTON, D.C. OFFICE

Suite 475
1825 Eye Street, N.W.
Washington, D.C. 20006
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2026590616

February 6, 1986

Honorable Pat Williams
Chairman House Subcommittee on
Selection Education
617 House Office Building
Annex 1
Washington, DC 20515

Dear Congressman Williams:

On behalf of Educational Testing Service, I am writing to thank you for the opportunity you have extended to us to present testimony at your hearing on Wednesday, February 19th, concerning the federal role in education research and the administrative structure and functions for education research within the federal government.

Although these matters are certainly of interest to us, we do not have any specific proposals to present at this time. If this situation should change, we will certainly be in contact with you. We plan to attend the hearing on February 19th and are looking forward to hearing the statements of the witnesses.

Again, thank you for contacting us and keeping us apprised of the work of the subcommittee.

Sincerely,

Penny Engel

Penelope Engel
Professional Associate

eaf

Exhibit 189 - 89

FEDERATION OF BEHAVIORAL, PSYCHOLOGICAL AND COGNITIVE SCIENCES

1200 Seventeenth Street, N.W. • Washington, D.C. 20036 • (202) 955-7758

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TESTIMONY OF

Federation of Behavioral, Psychological and Cognitive Sciences

on the subject of

REAUTHORIZATION OF THE EDUCATIONAL RESEARCH FUNCTION

prepared for

SUBCOMMITTEE ON SELECT EDUCATION,

COMMITTEE ON EDUCATION AND LABOR,

UNITED STATES HOUSE OF REPRESENTATIVES

The Honorable Pat Williams, Chairman

March 4, 1986

American Educational Research Association • American Psychological Association • Cognitive Science Society • Human Factors Society •

International Society for Developmental Psychobiology • National Academy of Neuropsychologists • Psychometric Society • Psychonomic Society •

Society for Computers in Psychology • Society for Mathematical Psychology • Society for Psychophysiological Research •

Society for Research in Child Development • Society of Multivariate Experimental Psychology

This statement is presented by the Federation of Behavioral, Psychological and Cognitive Sciences. The Federation, established in 1980, is a coalition of 13 scientific societies with combined memberships of over 90,000. The Federation's interests include research on behavioral, psychological and cognitive processes and their physiological bases and its application to education, health and human development. We are pleased to comment for the record on the reauthorization of the educational research function in the Department of Education.

In this statement we will discuss some examples of recent cognitive research which are relevant to education. We believe research of this kind is essential not only to improve but to maintain a vital and effective nationwide educational system. Finally, we will comment on the reorganization and reauthorization of educational research at the Department of Education.

Recent findings have demonstrated the kinds of knowledge required for successful problem solving and have provided explicit descriptions of knowledge relevant to selected domains in science and mathematics. For example, a predominant view underlying current curriculum design and teaching in science is that students' understanding of scientific concepts is shaped by their instruction. Much care is taken to avoid presenting incorrect principles or concepts. However, students begin their study with strongly held conceptions of the phenomena that are explained by scientific principles. Research shows that their preconceptions are often

inconsistent with the principles to be learned but persist even after considerable instruction. As a consequence, students may be able to use their formal knowledge to correctly solve textbook problems but still base their understanding of events of the world on their incorrect preconceptions when taught with commonly used methods.

New information about the sources of difficulty in understanding mathematical, scientific and technical concepts provides a basis for development of educational materials and methods for reaching a broader group of students. In addition, research to identify factors contributing to the relatively low levels of participation in mathematics and science courses by women and members of minority groups is underway and is suggesting ways to encourage increased participation.

Last spring Dr. Jill Larkin appeared before this committee for the Federation and described some of the exciting research being done in understanding the learning of problem solving skills in several science domains; teaching expert-like processes to novice problem solvers; and using computer-based "tutoring" for high school geometry.

Largely because of the influence of the former National Institute of Education (NIE), studies of reading are producing a clearer picture of how young children learn letter patterns and associated sounds in English. Acquiring sensitivity to the sounds and rhythms of words can be bolstered

by home activities. Parents can play an important role by reading aloud to their children. The speed and efficiency with which children achieve word recognition is a major determinant of reading comprehension. So that meaning can be given to a written passage, word decoding must become automatic. Children bring more prior knowledge and complex mental processes to reading than was originally believed. Such research results are beginning to influence reading instruction.

The preceding examples are not unique. Many current research projects, supported by the Office of Educational Research and Improvement (OERI) and by other agencies, share the following important features:

- They concern learning and problem solving in subject matters taught in the schools and colleges.

- They develop principles or methods having the potential for dramatically improved instruction, often through the use of computers.

By applying research like this, we could provide effective materials for teachers to help students learn reliably and efficiently. We believe basic research of the kind described can help our nation provide improved education, even though it may continue to be difficult to attract and retain enough good teachers. These comments are especially true for

mathematics and science education, where good teachers are especially hard to recruit and where the research described may have its earliest successes.

The examples given are, however, limited to a few subject areas. We will not revolutionize the school curricula tomorrow. Continued research is needed to understand mechanisms of learning and reasoning in more subject areas and to learn how to apply our understanding to produce better practical instruction.

Fiscal resources for the Department of Education increased from approximately $6.1 billion in 1973 to $17.1 billion in 1984, an increase of 22% in constant dollars. During the same period NIE resources fell 76%. As the funds decreased, the proportion of NIE support going to Congressionally mandated research centers and regional laboratories increased to a point where NIE could not sponsor field initiated studies.

We were pleased to see OERI announce a small field initiated research program for FY 1986 and a larger effort in the proposed FY 1987 budget. The OERI needs resources to respond to investigator-initiated research proposals. Because there has been barely enough funding to support prior commitments to the research centers and regional laboratories, there has essentially been no resources to support the independent researcher with a novel idea or the innovative collaboration of a group of researchers from

different disciplines. While excellent work is done at some of the research centers and regional laboratories, the lack of uncommited resources means no ability to respond to fresh new ideas from unforeseen sources. It also limits the ability to support and encourage interdisciplinary research (e.g., between cognitive psychologists, educators and subject-matter experts). Finally, it limits the pool of research talent the OERI can tap.

The OERI also needs consistent support. Research results cannot be bought on a short time scale. The results briefly summarized above came from ongoing projects of five to ten years duration. Neglecting basic research this year means fewer results in five or ten years, and we will not be able to remedy this deficit by increasing research spending at that later time. Good research requires attracting good people to work on important problems, training new researchers, obtaining basic results and working out their applications. None of this can be done quickly. Therefore, results for the future must be purchased now, or we will find ourselves in the future without new ideas or methods, outstripped by other nations with more foresight.

Although we strongly support educational research, no one could claim NIE's record was perfect. One part of this imperfection is, however, intrinsic to the research enterprise. Research is high risk. We take chances on trying to work out an idea no one has ever done before.

Sometimes we succeed; sometimes we fail. The educational research function needs to be able to accommodate such failures. While the OERI certainly needs to be critical and selective in its funding, it also must not be condemned to supporting only safe "sure things." Such a policy would rule out possibilities for true innovation.

REORGANIZATION/REAUTHORIZATION OF THE RESEARCH FUNCTION

The Federation has endorsed in principle the Secretary's reorganization of the research function at the Department of Education. This reorganization should improve the effectiveness of the research function and increase its impact on educational practice. We are pleased to see an emphasis on peer review in the awarding of grants and contracts, which has worked so well in the competition for the centers and laboratories. We wish to emphasize the use of qualified researchers to evaluate proposals within the priorities set by OERI.

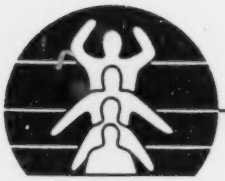
The Federation supports the reauthorization of Sections 405 and 406 of General Education Provisions Act (GEPA), consistent with the reorganization of OERI, and urges that this reauthorization be completed in 1986 to preserve the research functions and funding.

CONCLUSIONS

It is crucial to our nation's future to provide excellent education for our young people. Providing this excellence is proving increasingly difficult with traditional methods. Current basic research suggests that we might in the near future begin to deliver education in fundamentally new and more effective ways. To realize this possibility will require support of basic research, through organizations like the OERI. We need an educational research effort at the Department of Education that:

- has stable and scientifically excellent leadership,
- can respond to the best research initiatives from the scientific community, and
- has sufficient resources to pursue excellence.

The research function at the Department of Education must be reauthorized in 1986. Please do not hesitate to call on the Federation if we can be of further assistance during your deliberations. Thank you.



American Association for Counseling and Development
5999 Stevenson Avenue, Alexandria, Virginia 22304 703/823-9800

TESTIMONY OF

PATRICK J. McDONOUGH, Ed.D
EXECUTIVE DIRECTOR
AMERICAN ASSOCIATION FOR COUNSELING AND DEVELOPMENT

PRESENTED TO
THE
UNITED STATES HOUSE OF REPRESENTATIVES
SUBCOMMITTEE ON SELECT EDUCATION

FEBRUARY 19, 1986

WASHINGTON, D.C.

American Association for Counseling and Development is Committed to Equal Opportunity.

Good morning. Mr. Chairman and Members of the Subcommittee on Select Education, my name is Dr. Patrick J. McDonough and I am the Executive Director of the American Association for Counseling and Development, an organization comprised of more than 47,000 professional counselors, counselor educators, and related human development specialists.

On behalf of our membership, I would like to thank the Subcommittee on Select Education for the opportunity to share with you our concerns in regard to the federal role in support of educational research.

After briefly commenting on the reauthorization of the National Institute of Education, my remarks will focus upon research questions which the American Association for Counseling and Development feels should be pursued at the national level.

The importance of a federal commitment to educational research cannot be underscored. The ability to compile data, analyze statistics, and conduct studies in regard to the education of our nation's citizenry is critical as we move towards the twenty-first century. Research into our country's education policy can only work to strengthen a system which is faced with an ever-changing student population. The special needs of today's children can only be met with policy which is formulated with the most up-to-date statistics and analysis.

Of particular interest to our members are research questions and concerns within elementary, secondary and postsecondary education in regard to a student's human development. On behalf of AACD and three of its divisions, the American School Counselor Association, the American College Personnel Association, and the Association for Measurement and Evaluation in Counseling and Development, we raise the following issues.

I. Elementary and Secondary Education

1. A comprehensive accountability study of existing guidance programs is needed. It should:

   (a) identify real and implied programmatic goals, measure how they are being accomplished and how successful they are;

   (b) assess how counselors spend their time and analyze the costs and benefits of this time use;

   (c) survey opinions of various consumers about the quality of counseling services being delivered and their perceived needs for counseling services; and

   (d) assess what school counselors do most effectively.

2. What is the impact of counselors' primary prevention efforts? Examples of such programs include career education, relationship enhancement, parent and teacher effectiveness training, peer counseling, assertiveness training, coping skills training and problem solving training.

3. What is known about effective decision-making? Can children and adolescents be taught to be effective decision-makers? Does such training have an important impact on their lives? What is the most effective way to teach these skills?

4. Can children and adolescents be taught effective problem solving

4. Continued-

skills? What are the most effetive ways to do so? Are they able to apply these skills to their own lives? Does such training have an important impact on their lives?

5. What is the relationship of temperament style and characteristics to various approaches of counseling, guidance and or learning? In other words, what kinds of interventions are most successful with what kinds of personalities?

6. What are some of the problems with cross-cultural counseling and how can they be overcome (i.e. individual counseling, group approaches, or consultation with teachers and parents)? Which approach is most effective in which situations?

7. Can counselors make a significant impact on children's and adolescent's achievement through individual counseling, group approaches, or with teachers and parents? Which approach is most effective in which situations?

8. How does the learning environment affect learning and can counselors change the learning environment to be more responsive to students' needs?

9. What is the role of the counselor in identifying children who are at-risk for personal, educational or career problems? How can teachers and counselors work more effectively with children who have problems?

10. What are the most effective approaches for the counselor in assisting students and their parents with career exploration and selection?

11. What interventions are most effective in working with the following:

-learning disabled
-emotionally disturbed/deprived
-physically handicapped
-children of divorce
-economically disadvantaged
-substance abuse
-child abuse
-premature or delayed development
-chronic truancy
-underachievement
-social immaturity

Postsecondary Education

1. The role of psychological and other mental health services in institutions of higher education.

2. Development of change theory and implementation of change theory into institutional life.

3. Persistence of adults in higher education--related specifically to gender, race and level of involvement.

4. Development and utilization of instrumentation to assess the impact of the fit between the person and the environment and how that affects academic success and student development.

5. New approaches to improving the attraction to and persistence of minority students in higher education.

6. The impact of higher education on the economic well-being of the United States.

7. The impact of institutional type/environment on the growth and development of women attending college.

8. The role of extra-curricular activities participation in the retention of majority and minority students.

9. Definition of the role of education in international peace building.

10. The development of models of out-of-class involvement which retain students and improve the quality of the student's educational experience.

11. The study of level of institutional funding, institutional type and the relative quality which results in student knowledge acquisition and maturity.

12. Study of the governance of higher education (governmental funding and policy, board leadership, administrative management and faculty input) and how it affects the achievement of quality in higher education.

Mr. Chairman, our association stands ready to assist you and your staff in whatever way possible. Again, our appreciation for the opportunity to share with you our concerns. Thank you.

President
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Ohio Superintendent of Public Instruction

President-Elect
DAVID W. HORNBECK
Maryland State Superintendent of Schools

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STEPHEN KAAGAN
Vermont Commissioner of Education

LYNN SIMONS
Wyoming State Superintendent of Public Instruction

WAYNE TEAGUE
Alabama Superintendent of Education

Executive Director
WILLIAM F. PIERCE

February 18, 1986

The Honorable Pat Williams
Committee on Education and Labor
Subcommittee on Select Education
U.S. House of Representatives
617 House Office Building Annex #1
Washington, D,C, 20515

Dear Representative Williams:

Thank you very much for your letter of January 15 to Mr. Bruce Hunter. The Council of Chief State School Officers appreciates the opportunity to comment on the reauthorization of the educational research functions of the U.S. Department of Education. As chair of the Council's Committee on Coordinating Educational Information and Research, I offer the following points for the consideration of the Subcommittee.

First, the Council supports and encourages the role of the federal government in educational research and statistical data gathering. This is a basic role dating back to the beginning of federal involvement in education, and it is a role that we feel continues to be appropriate. While we in the states are doing what we can to compile information for use in managing our school systems, research and information on education is a national concern, of benefit to school children throughout the nation, and it is not only fitting but necessary that the federal government take primary responsibility for planning, supporting, and reporting research and statistics on education.

Second, we have watched with interest the reorganization of the Office of Educational Research and Improvement over the past seven months. We support this effort if it results in more effective and efficient programs within OERI. The new organization seems to offer clearer division of responsibilities among the work units, and we hope this will mean that the planning and conduct of research programs, the application of research to improve educational practice, and the dissemination of research-based information to the field will become more effective. The reorganization also seems to be facilitating a redesign of the statistical programs housed in OERI; such redesign is needed, and we hope that the effort currently underway is successful.

Finally, we support the recent provisions made by Congress to permit

Education
. . . a sound investment in
AMERICA.

state-level participation in the National Assessment of Educational Progress, and we encourage further efforts to facilitate state-federal collaboration in educational research, assessment, and statistical data-gathering. I have enclosed a copy of Educational Assessment and Evaluation in the United States: Position Paper and Recommendations for Action, adopted by the Council of Chief State School Officers in 1984. In this paper, we affirm the commitment of the states to lead in improving the information base for managing and monitoring education. This includes both work among the states to develop better and more comparable data on their education programs, and efforts by states to work with national and international programs to enhance the breadth and quality of information on education. We would encourage you to take every opportunity to support and facilitate collaborative state-federal planning and participation in these efforts.

In the past, under the current legislation authorizing NIE, state and local educators have been able to participate in the processes by which the research agenda has been developed. We hope that, in the future, provisions will be made for participation by state and local educators in the development of OERI's general research programs, in the development of missions for research centers, and in the development of plans and programs for regional laboratories.

Thank you for providing us with the opportunity to submit comments for this hearing. If you would like us to present our comments at the hearing, we would be pleased to attend, and if you would like our comments or position on any particular issues, we would be pleased to follow up with additional information that would be helpful.

Respectfully submitted,

Richard A. Boyd

Richard A. Boyd, Mississippi
Superintendent of Education, and Chair,
CCSSO Committee on Coordinating Educational
Information and Research

cc: Mr. Bruce Hunter

Council of Chief State School Officers

Education Evaluation and Assessment

in the United States

Position Paper

and

Recommendations for Action

Education
...a sound
investment in
AMERICA

EDUCATION EVALUATION AND ASSESSMENT IN THE UNITED STATES

Position Paper and Recommendations for Action

Adopted by the

Council of Chief State School Officers

at their

1984 Annual Meeting

November 13, 1984

Wilmington, Delaware

Council of Chief State School Officers
400 North Capitol Street
Suite 379
Washington, D. C. 20001
(202) 393-8161

EDUCATION EVALUATION AND ASSESSMENT IN THE UNITED STATES

Introduction

During the past two years there has been an intense and productive nationwide debate about the condition of education in the United States and how to improve it. The consequences of this debate have touched almost every community in the nation as the several states have carried out reviews of their policies and proposed significant new reforms. However, as citizens' groups, legislators, governors, and local and state boards of education have examined educational problems, they have often been frustrated by the lack of good information about the condition of education.

High quality data are essential to the continuing momentum of education reform. The publication of data brings education to the attention of the public and makes it an issue of enduring concern. By comparing the performance of a school, district, or state with itself over time, or with other schools, districts, or states, data serve to exhort, motivate, or reward.

A second use is to aid local, state, and national policymakers in understanding the consequences of changes in policy and to aid them in implementing policies once they are adopted. Because of the variety that exists across the nation's school districts, numerous natural experiments are continually taking place as academic standards are increased, steps are taken to enhance the quality of teaching, the school day or year is lengthened, or the level of resources available for educating specific groups of students changes. By observing the impact that these changes have on the outcomes of schooling, policymakers can estimate the costs and benefits of pursuing alternative strategies for improving student performance.

Finally, and coming full circle, data serve to make education accountable to the public. At no time have more citizens been involved at all levels, studying the problems of education and proposing solutions. In many states and localities, significant new dollars have been made available to fund these proposals. With this commitment comes a concomitant interest in the assessment and evaluation of the system and the systematic reporting of its strengths and weaknesses, successes, and failures.

Examples of the weakness of present educational information abound. Here are but two:

1. The National Science Foundation (NSF) reported a major national problem with the supply of qualified high school teachers of mathematics and science. Shortly afterward, the General Accounting Office found that data supporting NSF's conclusion were too weak as a basis for reasonable policy; and the problem, if there was one, was limited to a few regions rather than the entire nation.
2. The U.S. Department of Education published a statistical chart in 1984 which contained the "most comprehensive data available on the performance of state educational systems." The purpose was to compare states so that state leaders could "better consider appropriate reforms."

The only measures of student achievement available for all states were the college entrance examinations--the Scholastic Aptitude Test (SAT) and the American College Entrance Examination (ACT). These scores are not representative of the quality of the states' educational systems. They do not reflect the diversity of the students or programs. They do not assess the quality of the elementary or middle school. At best they represent an assessment of the aptitude of college going twelfth graders.

The lack of high quality data to describe and monitor educational systems in the U.S. hampers reform decisions and will impair attempts to evaluate the effects of the reforms. We need valid ways of assessing the quality of education on a continuing basis.

Steps are being taken to improve assessment and evaluation information to meet this problem. At the federal level, the U.S. Department of Education has asked the National Academy of Sciences to examine the federal systems of data collection and analysis. The Department has also established a Federal Indicators Project in collaboration with nationally based state organizations to define the key statistical indicators that need to be collected by the federal government.

These are important, but not sufficient, steps to deal with problems that affect the entire educational system, from the federal level to the classroom. The Council of Chief State School Officers has worked over the past year to develop a set of recommendations for the Council and federal, state, and local education agencies, designed to help improve the quality of educational indicators. This paper sets forth the recommendations.

National Concerns

Since the birth of the Office of Education in 1867, the collection and dissemination of national statistics on education has been a federal responsibility. The federal government uses statistics to assess progress toward federal goals such as the provision of opportunities for the handicapped, to track federal funds to ensure that their use meets the intent of Congress, to assess compliance with civil rights statutes, and to monitor the health of the educational system in general. This last purpose leads to the collection of large amounts of data describing the financing of the system and the quantity of resources used in the schools. Less complete data are gathered on the quality of the resources and the outcomes of the educational process. Yearly, the Department assembles a three foot stack of reports containing thousands of statistics. Although many of the federal reports are well done and useful to both policy makers and researchers, they do not provide a good base for policy making.

To some extent, this problem exists because a variety of different agencies within the federal government produce statistical reports, including agencies both within and outside of the Department of Education. Better coordination across agencies can address this aspect of the problem. To a greater extent, however, the problem exists because there is little or no organizing theory or model to guide the collection and presentation of educational data.

The Federal Indicators Project and the National Academy Study show promise for improving the quality and use of federally collected data on education. Equally important is the federal sponsorship of research efforts to improve the quality of educational assessment and evaluation. Of special importance is research work on the measurement of student achievement, both for use by teachers in the classroom and for policy makers interested in aggregate measures of achievement at the school, district, state, and federal levels.

The need for these efforts is strongly supported by even a cursory analysis of Secretary Bell's 1984 "wall chart" entitled "State Education Statistics." The chart contains only two student "outcome" measures (graduation rate and college entrance examination test score means) and each has very limited value. There is no measure of teacher quality or of the quality of the curriculum. There is no measure of the opportunity for students to take academic courses. The quality of the available data was influenced by the Secretary's decision to contrast states; this required that there must be common data available from each state. But even if the Secretary had focused only on nationwide data, the results would have been unsatisfactory. Of the problems listed above, only the limits of achievement test information would have been even partially overcome.

The publication of the "wall chart" also brought to the forefront the issue of state-to-state comparisons. For years, comparisons among states on a wide variety of education measures have existed within the pages of Department of Education reports. These reports have even included rankings of the states on such measures as per pupil expenditure and teacher/pupil ratio. National attention to the "wall chart" was attracted by two things: first, the Secretary held a press conference and presented the chart, which was perceived by the press as a "report card" for the states; and second, the chart highlighted student outcomes and ranked states on them, thereby giving the media of every state a local story.

On a technical level, state-to-state comparisons are problematical for a variety of reasons beyond those given above concerning the quality of the data. The most important reason is that states differ greatly in the characteristics of their populations, the levels of available resources, and the curricula taught in their schools. These differences are particularly critical when student outcomes are being compared. Moreover, state comparisons on student achievement tests invoke the spectre of a single national exam, a vision that challenges the U.S. tradition of state and local control over education. On a political level, however, the attention given to the Secretary's "wall chart" makes inevitable future state to state comparisons on outcome measures.

These are important matters for the future of our nation's educational system. The task now is to make sure that the data are as high quality as possible and given appropriate interpretation. This has both short- and long-term implications. In the short run, the Secretary's "wall chart" for 1985, if there is one, must be different from the 1984 version. Over the long-term, the Federal Indicators Project, in conjunction with state and local groups, should provide a structure to improve the quality of data critical to federal concerns. This effort should result in standardized and improved specifications for gathering and reporting much of these data.

whether such an effort should include federal specification of a set of indicators that would be collected by every state is another matter. The federal government can collect data that represent the status of the nation on core educational issues without having the data be representative at the state level. Yet, if we accept the argument that state-to-state comparisons are bound to happen, it is important to ensure that the comparisons be as policy relevant and as valid and fair as possible. An alternative to federal specification would be for the states collectively to provide the leadership. This would offer balance to the potential centralization of policy implicit in the federal government's taking the initiative. For much of the data to be collected, the eventual difference would probably be small. It might even be small on the most sensitive of issues: the comparison of states on achievement test results. The process for determining the policies in a democratic and decentralized system, however, is critical to the success of the policies.

A final nationwide issue needs to be considered. The current debates about education make much of our nation's economic and educational position vis a vis other nations. The natural experiment made possible by the great variations among nations in educational policies indicates that we might learn much by examining the differences among nations. Yet remarkably little systematic data are gathered on which to make legitimate comparisons among nations. The single international organization established for this purpose (the International Educational Achievement Organization—IEA) has received only sporadic support from the U.S. Government. It is time to address this issue.

State and Local Concerns

Arguments about the need for the nation to have a valid set of indicators collected over time, also hold at the state level. These indicators may be somewhat different from those viewed as necessary by the federal government. Each state may value certain outcomes differently, and no group of analysts has the "right" model. These differences, however, do not diminish the need for a state to be clear about the outcomes important to it or about the way that it assesses the effectiveness of resource use within its boundaries.

This point is particularly important now as the several states embark on programs of school reform. The quality of a state's efforts to evaluate the progress of its reforms will depend upon the quality of its educational data base. A solid data base containing regularly gathered measures of resources and outcomes will provide a foundation for monitoring the reforms. In the short-run, for example, the effects of many reforms on student achievement outcomes may not be noticeable. Instead they may be seen in such areas as increased access to academic courses or to dropout prevention programs. States with measures only of student achievement will know little about these issues. Similarly, states with only narrow achievement measures, as in some minimum competency examinations, will not be able to detect the effects of reforms like increased academic requirements, which might have more impact on high achieving students.

Additionally, because comparisons of states will occur with increasing frequency, it is important for the states to build the capacity to learn from these comparisons. For a state considering whether to increase its high school graduation requirements, the experience of similar states that have recently carried out such a policy change could be very informative. For this purpose it would be particularly useful for each state to have a common core of data that would enable valid and useful comparisons and a capacity to connect state data to nationwide information. These data, of course, could be collected on samples of schools and students, reducing the extra burden on the system.

Finally, the process of assessing and monitoring educational progress is important at the local level. Measures of outcome should be clearly related to the purposes and goals of the system, and there should be better ways of assessing the quality of resources in local education agencies and schools. In these ways the federal, state, and local needs are similar. There is still another need at the local level, however, which cannot be met by measures of institutional effectiveness. This is the need for ways of diagnosing the needs and directing the education of individual students. The theory, methods of construction, and use of these measures are qualitatively different from that of the outcome or achievement measures used for evaluating federal, state, and local systems. More needs to be done in the development of these measures, for they may be the most important of all.

Recommendations

This paper raises critical issues regarding educational assessment and evaluation and leads to recommendations for the CCSSO. These recommendations are addressed to the CCSSO itself and to federal, state and local governments. They cover a broad range of assessment and evaluation issues with a particlar focus on the role that the CCSSO might take in providing direction and leadership over the next several years.

At this time of widespread reform in the United States, the CCSSO has an important responsibility for leadership in the development, use, and interpretation of assessment and evaluation procedures and results.

Education assessment and evaluation take place at different levels: the individual student, the classroom, school, school district, state, nation, and world. A major challenge is to design assessment and evaluation procedures which will allow for efficient use of data for decision making at each level and, where appropriate, for use at multiple levels. Beyond the longer-range concern of tracking the health of the U.S. educational system to provide data for informed policy making, the task of developing models and implementing testing and data collection systems is of great immediate concern to the CCSSO, for without adequate data we will not be able to monitor and assess the impact of the various reforms. The recommendations that follow are directed to the CCSSO, to the U.S. Department of Education (and those responsible for federal appropriations—the U.S. Congress and the President), to the states individually, and to local education agencies.

To the Council of Chief State School Officers

1. Assume a national leadership role in the formulation and coordination of policies regarding the assessment of the K-12 educational system. Work actively with federal and state agencies to improve their capacity to gather, analyze, and report on a variety of assessment matters.

2. The Committee on Coordinating Educational Information and Ressearch (CEIR) of the CCSSO should monitor the development of state and national policies. It might also develop model policies for states to consider.

3. Establish in the CCSSO a coordination center on assessment and evaluation programs of the states. The center would provide states with timely information on practices in other states; support cooperative efforts among states to align their programs more closely with one another; and promote coordination among international, national, and state assessment programs. The center shall be funded by the Council and/or outside sources. The scope of the work for the center and appropriate work schedule shall be prepared by the CEIR Committee and presented to the Council membership at the March 1985 Legislative Meeting.

4. Work actively with the National Center for Education Statistics (NCES) to ensure that reporting of data from all sources is accurate and timely.

5. Work with the major test publishers, survey organizations, corporations, and other groups that have large-scale assessment programs, to examine methods for developing state-by-state comparative data that are valid.

6. Work to develop interim measures of institutional improvement to meet the public need for short-term data on the effects of recent educational reforms. Examples of such measures are:
   a. the increase in the number of academic courses taken by students;
   b. the increase in the number of science teachers taking summer training; and
   c. the increase in the number of students in dropout prevention programs.

To the U.S. Department of Education (ED)

1. Integrate the projects through which the Secretary reports on the state of Education in the nation by combining reports--The Condition of Education, Education Indicators Project, "Wall Chart," and other statistical and assessment reports. Request increased appropriations for the Department of Education (National Center for Education Statistics) assessment and evaluation efforts by five to six times current level (currently $8+ million per year) to make the capability comparable with national reporting in health, agriculture, and other functions.

2. Over the short-run, in cooperation with the CCSSO, revise "State Education Statistics: State Performance Outcomes, Resource Inputs, and Population Characteristics, 1972, and 1982" prepared by the U.S. Department of Education, and released in January 1984 (popularly known as the Secretary's "Wall Chart") so that it: a) focuses on nationwide indices and trends; b) represents any state performance or outcome through trends or net change for the state itself rather than by rank order of states; c) includes Scholastic Aptitude Test (SAT) or American College Entrance Examination (ACT) scores only if reported along with the state percentages of twelfth graders represented by the SAT/ACT scores; d) includes student retention rates only if adjusted by net in/out migration and if data from different states are comparable; and e) includes the number of GED's awarded in the state and the change over the years. (It is important to recognize that post hoc analyses can never adequately adjust measures to ensure comparability. If comparisons are desired, they must be carefully planned in advance so that the indicators can be defined and weighted according to the questions they are being asked to answer.)

3. Integrate education assessment and evaluation results and other pertinent information from other federal agencies such as the Department of Defense (i.e., entrance test results), Department of Labor, National Science Foundation, and Census Bureau into the Education Department assessment and evaluation program.

4. Provide financial aid to states to stimulate new state assessment programs and strengthen existing state assessment efforts. Federal aid might also be used to relate state programs to the National Assessment of Educational Progress (NAEP) or other nationwide testing programs.

To the CCSSO and U.S. Department of Education Together

1. Continue joint federal/state/local planning efforts on assessment and evaluation. The efforts should include indicator model design and identification and use of joint opportunities for data gathering, analysis, and reporting. This includes examination of indices in other fields such as health, economics (CPI, Dow Jones Average), and welfare; and the development of indices for student achievement and for the relative challenge presented by differing groups of students (e.g., different socio-economic groupings) to meet the same achievement levels.

2. Establish a long-term commitment to develop a core set of education indicators and an accompanying analytical model which accurately portrays the educational system and effectively measures educational effectiveness. This effort will require two or three years, at least.

3. Educate the public, policy-makers, educators, and the media on the appropriate uses of data, assessment results, and education indicators, and the inferences that may legitimately be drawn from them.

4. Develop assessment and evaluation exchange programs with other nations and support United States participation in international or cross-national education assessment projects. Consider systematic support of the International Educational Achievement (IEA) effort. Also examine opportunities to work with the Organization of Economic and Community Development (OECD).

To States: Recommendations Regarding Statewide Indicators

1. Each state should develop a systematic approach to monitoring the status of education in relationship to state goals and context. Specifically:
   a. A set of outcomes for the educational system and a way of measuring them should be agreed upon by various interests within each state.
   b. Each state should develop a conceptual model which links outcomes to indicators critical to the quality of education. One approach to defining input indicators is to break them into four categories: 1) measures of the quality and level of resources such as teachers and curriculum materials; 2) measures of the processes within the schools such as time spent on instruction, teaching strategies, and in-service training approaches; 3) measures of the characteristics and needs of the students such as the percentage of handicapped and limited English-speaking ability; and 4) measures of the policy environment including the rules, regulations, and standards governing the state's educational system. The measures selected as input indicators should all have a solid and stable relationship to one or more of the outcome indicators.
   c. Each state should publish a yearly report which contains displays and analyses of cross-sectional trend data showing the condition of its educational system as represented by outcomes and other indicators.

2. Each state should establish high standards to be followed in its collection and presentation of outcome indicators:
   a. Multiple indicators should be presented (e.g., achievement scores, dropout rates, numbers of high school equivalencies, college-going rate, percentage of 18-19 year old youth in jobs and in the armed forces).
   b. Data should be presented over time as trend and gain scores.
   c. Work should be carried out to develop a "challenge index" which would give an indication of the gain of the state relative to its starting point.
   d. Presentation of data should include ethnic, socio-economic, language dominance, and handicapped groupings.

To States: Recommendations Regarding Indicators Which Can be Compared Across States

Implementation of the following five recommendations shall be in accordance with a plan prepared by the CEIR Committee and presented to the Council at the Annual Meeting November 1985 for approval.

1. The various states also should work with each other and with the CCSSO to establish a "core set" of input and outcome indicators to be collected on a yearly basis by each state. This would facilitate the examination of the effects of state policies by making comparisons available on a state-to-state and cluster-of-states basis.
   a. The format and definition for each on the indicators would be common to all the states.
   b. These indicators would not necessarily replace existing data gathered by the state; rather, they should be viewed as augmenting an existing data base.
   c. The CCSSO and the states should work to make the indicators as parsimonious and inexpensive to collect as possible.
   d. The indicators should be published by each state along with its other indicators in a yearly status report.
   e. These indicators could be collected on a sample basis within states rather than for the total population concerned. This would decrease cost and burden and would make it clear that the indicators were not replacing existing data collection efforts.

   (The implementation of this recommendation would take place over a two-year period and would be coordinated by the CCSSO.)

2. States should work with each other and with the CCSSO to establish a "core set" of outcome indicators. There should be multiple indicators including data from educational achievement tests. The CCSSO will sponsor a planning study to develop specifications and criteria for defining these outcome indicators.

3. With respect to achievement testing, the planning study should develop criteria for states to use in their selection of instruments for assessing student achievement. Over a period of approximately five years, the implementation of these criteria would result in states testing a common set of grades and a common set of skill and content areas with a set of tests that would be equatable across the states.

4. In addition, the achievement tests meeting the criteria should have a variety of special characteristics. They should: a.) assess basic and higher order conceptual skills; b.) assess a core of content knowledge in science, social studies, and English as well as in mathematics and reading; c.) provide the opportunity for a writing sample and a "production" item in some domain other than English; and d.) be of the highest possible quality and be continually upgraded as knowledge improves.

   Given the current level of resource allocation and technical expertise available, developing and maintaining high quality testing instruments will be difficult. States will need to augment significantly the resources devoted to testing if this goal is to be met.

5. The "core" test(s) should augment rather than replace the existing state assessments of achievement. The primary function of the "core" tests would be to provide data representative of a state's progress and level of educational performance. Therefore, the test may be administered to samples rather than total populations of students at the selected grade levels. Samples per grade level can be quite small and provide reliable state level information. In addition there are a number of legitimate psychometric strategies which may be used to limit the testing time for any individual student. It would be straightforward to design a procedure that tested approximately 400 classrooms, each for one hour apiece, at each of three grade levels in a state and to come up with very reliable and extensive data. This would not generate data representative at the local level. Local districts could be given the option to augment the data collection to establish their own representative sample.

To Local Education Agencies

We acknowledge that recommendations made to local districts should be given more attention in follow-up documents. Much of the burden in the proposed activities will fall to them, and the recommendations directed toward them could be significantly enhanced.

1. The CCSSO encourages local education agencies (LEAs) to make effective use of diagnostic and evaluative instruments to improve the quality of instruction in their schools. The CCSSO will hold a conference on the use of diagnostic test instruments which will assess the state of the art and, it is hoped, provide useful information for local districts.

3. The CCSSO encourage local districts to establish systematic data collection approaches in order to provide timely and accurate data to concerned citizens and policy makers. These data should include outcome indicators (such as achievement, retention, and college-going rates) as well as input indicators of the sort suggested for the states.

NAESP

National Association of
Elementary School Principals

February 18, 1986

The Honorable Pat Williams, Chairman
House Subcommittee on Select Education
Room 2457
Rayburn House Office Building
Washington, D.C. 20515

Dear Mr. Williams:

The National Association of Elementary School Principals herewith submits its testimony relative to a portion of the legislation included in the proposal to reauthorize the National Institute of Education, an action we wholeheartedly support.

The portion to which we refer deals with the composition of the membership of the Assessment Policy Committee of the National Assessment of Educational Progress.

We would appreciate your consideration of our testimony and your support for HR2210 recommending that principals be specifically included as members of the Assessment Policy Committee.

Should you wish further information, please don't hesitate to contact me at the Association address.

Sincerely yours,

Edward P. Keller
Deputy Executive Director

enclosure
EPK/mh

1615 Duke Street, Alexandria, Virginia 22314-3483 (703) 684-3345

National Association of Elementary School Principals Testimony
National Institute of Education Reauthorization
Page One

The National Association of Elementary School Principals appreciates this opportunity to offer testimony regarding the reauthorization of the National Institute of Education and of the national assessment program entitled, The National Assessment of Educational Progress.

The Association is a voluntary membership, non-profit association serving over 20,000 elementary and middle school principals. It directs its activities toward the needs of children, principals and the principalship. A fact sheet about the association is attached for your information.

The purpose of our testimony is to encourage favorable consideration of an amendment to the National Assessment of Educational Progress (NAEP) legislation which would permit the inclusion of an elementary school principal and a secondary school principal as full members of the Assessment Policy Committee of the NAEP.

Since the initial legislation creating the NAEP was enacted, much research has been conducted relative to school success and effective schooling. Over and over again, this research has pointed out the considerable importance of the principal in establishing and maintaining effective teaching and learning in the school.

From the early Rand Corporation studies identifying principals as the "gate-keepers of change" to Secretary of Education William Bennett's comment that, "In the long life of a community, a principal can be even more important than the mayor," the critical role played by principals has been increasingly recognized.

It is therefore appropriate, we believe, to correct the oversight embodied in the original legislation and to include principals as full participating members of the NAEP Assessment Policy Committee.

This recommendation is supported by the Committee itself. At its meeting of October 12 and 13, 1984, the Committee approved a resolution that:

"...the APC seek a change in the legislation to expand the composition of the APC membership to include and to specify that a school principal be a full member of the Assessment Policy Committee."

In a letter dated, December 1, 1984, to then Secretary of Education Terrell H. Bell, Dr. Wilmer Cody, Chairman of the Committee, stated further that:

"In view of the vital role the school principal plays in the education process, the APC believes that the inclusion of a principal on the APC would make the APC more representative of the education policymaking community."

NAESP certainly agrees with the APC, but believes that there should be a principal from both the elementary and the secondary levels, not just one level. By doing so, the Committee would be assured of advice and counsel from the school building administration levels that would encompass the range of NAEP activities.

We therefore urge the Subcommittee on Select Education to amend the existing statute as proposed in HR 2210, to include both an elementary and a secondary school principal as active members of the NAEP Assessment Policy Committee.

The statute would be amended as follows:

-- In subsection (k)(2)(A)(ii), change "twelve members" to "fourteen memebers"

-- In subsection (k)(2)(B), inserting after (v), "(vi) one elementary school principal" and "(vii) one secondary school principal."

Thank you again for this opportunity to offer suggestions for amending the legislation reauthorizing the National Institute of Education and its accompanying component dealing with the NAEP. We hope you will find it as logical and persuasive as we do that principals should play a direct and vital role on the Assessment Policy Committee.

FACT SHEET

The National Association of Elementary School Principals (NAESP), founded in 1921, is a professional organization serving more than 22,000 elementary and middle school principals and other educators throughout the United States and overseas.

As a national organization, it operates through a network of affiliated associations in every state and the District of Columbia. In addition, NAESP has members in 10 of Canada's provinces and in many countries overseas.

The Association believes that the progress and well-being of the child must be at the forefront of all elementary and middle school planning and operations. Further, NAESP members accept the challenge inherent in research findings that the development of quality education in each elementary and middle school depends on the expertise, dedication, and leadership of the principal.

As the representative of principals serving some 30 million children in grades kindergarten through 8, the Association seeks

- To serve as an advocate for children and youth, especially by ensuring them access to an excellent education
- To sustain and promote high professional standards and creative leadership among principals
- To heighten public awareness of elementary and middle school education as the foundation for all future academic achievement
- To serve as a national representative for elementary and middle school education for Congress, the Executive Branch, state and federal agencies, the news media, researchers, educators, and other education groups
- To serve as an advocate for the professional tenets and priorities of elementary and middle school principals in the nation's capital and in state capitals throughout the country
- To work toward assuring that education continues to be recognized as a matter of national priority.

Among the Association's many services are the award-winning magazine, Principal; a newsletter, Communicator; such professional development publications as Here's How, Streamlined Seminar, and Research Roundup; a Legal Assistance for Principals program; a National Fellows Program; and annual national conventions and state leaders conferences. NAESP is the joint sponsor with the U.S. Department of Education of the annual National Distinguished Principals program.

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